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Civil Service Journal

Vol. 5 No. 1 July–September 1964

"It may be time to modify the system."
—CHANGE OUR SICK LEAVE SYSTEM? page 11.

...o other natural disaster in history has brought ...ch total response of Federal employees . . ."
—ALASKAN EARTHQUAKE, page 18.

"The major responsibility for unwarranted grade escalation must be put on the doorstep of the manager."
—UNWARRANTED GRADE ESCALATION, page 6.

". . . the clogging of communications channels is costing us heavily."
—STOP, SPEAK & LISTEN, page 2.

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UNITED STATES CIVIL SERVICE COMMISSION

Civil Service *Journal*

Volume 5 Number 1

July–September 1964

CONTENTS

Articles *Page*

Stop . . . Speak . . . & Listen
by L. J. Andolsek 2

The Manager, the Classifier, and Unwarranted Grade Escalation
by Seymour S. Berlin 6

Open Question: Change Our Sick Leave System?
by Elizabeth F. Messer 11

Civil Servants in Polaris
by Joseph E. Oglesby 29

Special features

The President's Awards 17

The Federal Service and the Alaskan Earthquake
by Edward A. McDermott 18

Departments

Legal Decisions 10

Employment Focus 22

Shelf-Help 23

Quotable 25

Training Digest 26

Standards and Tests 28

U.S. Civil Service Commission

JOHN W. MACY, Jr. ..... *Chairman*
L. J. ANDOLSEK ..... *Commissioner*
ROBERT E. HAMPTON .... *Commissioner*
WARREN B. IRONS .... *Executive Director*

Worth Noting

A FIRST-YEAR REPORT on the new system for handling employee appeals from adverse actions within Federal agencies shows the program is working well. The survey of appeals during fiscal year 1963 pointed up advantages of the system to appellants, agencies, and the Civil Service Commission. It gives employees who first appeal to their agencies an opportunity to win modification or reversal of the penalty, as well as the right to take their case to the Civil Service Commission; agencies have an opportunity to discover and correct errors made in taking adverse actions; and CSC benefits from a reduced appeals workload. All three benefit by faster settlement of disputes in many cases, eliminating costly, drawn-out procedures when cases can be settled at the agency level. Thirty percent of appellants whose cases were reviewed in their agencies won reversal or modification of the penalty at the first level; of those who lost at the first level and appealed further, 1 out of 4 won a reversal or modification by going to the second agency level and 1 out of 5 won a reversal by going to CSC. Although fiscal year 1963 was the first year in which nonveterans enjoyed the same appeal rights as veterans, CSC received and decided fewer adverse action appeals than in prior years.

IN ANNOUNCING approval of a new statement of policy on employment of the handicapped, President Johnson recently called on Federal agencies to "show the Nation what can be done" by Government as an employer "to make fuller use of the abilities of handicapped Americans." The new policy defines the handicapped as including: (1) the qualified mentally retarded, who can perform well some of the simpler tasks that must be done in any large organization; (2) the mentally restored, whose only handicap is that they once were ill; and (3) the physically impaired, who are not thereby occupationally disabled.

SHORTAGE CATEGORY jobs, for which the Civil Service Commission has authorized payment of transportation expenses to an employee's first post of duty, will be reviewed to determine which ones still reflect a manpower shortage. Unless there is evidence that Federal agencies would not be able to meet their needs for well qualified persons in affected categories, the Commission plans to eliminate from the list on January 1, 1965, all jobs for which this authority was granted effective prior to January 1, 1964.

SCIENTISTS AND ENGINEERS employed by Federal departments and agencies may now be trained in non-Government facilities for as long as two years in a decade of civilian Government service without prior approval of the Civil Service Commission. Previously, the rule was one year in 10. The Commission will consider, as promptly as possible, requests for additional waivers which Federal departments feel are justified.

(Continued—See Inside Back Cover)

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A Commonsense Approach to

EMPLOYMENT OF THE RETARDED

by WARREN B. IRONS, *Executive Director*
U.S. Civil Service Commission

WE STILL HEAR occasional grumbling about the Government's program to employ mentally retarded persons. Some cannot see how such persons can be used productively. Some profess concern about "welfare operations run at the expense of agency programs," and ask, "Whatever happened to the Quest for Quality?"

As a line manager with some reputation for a practical—even a "production oriented"—approach to administration, I have a few observations to make about these reactions:

(1) They are not based on fact.

(2) It is good business—from a practical, commonsense point of view—to hire qualified retardates where the right kinds of jobs exist.

(3) In some jobs, a qualified mentally retarded person may be better satisfied and consequently a *better* worker than persons not so handicapped.

(4) Most agencies, and most installations, have some work that retarded persons can do well.

(5) Our own experience is showing us that retarded workers are highly motivated, are willing to work and eager to please, are reliable in attendance, and have a high tolerance (even preference) for the routine, repetitive tasks which often cause dissatisfaction and high turnover among other employees.

The Civil Service Commission hired the first mentally retarded person to go on the Federal payroll under the special appointing authority which permits their noncompetitive appointment. We have hired three others since. One of our four is a housekeeping aid, one is a grade 2 clerk-typist, one helps our library staff with such simple but necessary tasks as labeling new accessions, and the other is a mail clerk. All are doing good work; all have good attendance records; all get along well with both supervisors and coworkers. They are well qualified, not overqualified, for the work they are performing. They will probably stay put on these jobs and continue to do good work as long as the work is there to be done. We will hire more, as good placements can be worked out—not because we are soft but because it makes good sense and is good business.

But we were only the first, and we have not hired the most. Some larger agencies have placed as many as 14 into productive lines of work. As of June 19, agencies had hired a total of 100 retardates: 82 in the Washington area, and 18 in the field.

The President himself has pointed out to agency heads that constructive action in this area can result in mutual benefit to the handicapped, the agencies that employ them, and the public. The time has arrived to give effect to the President's policy: "Let us open the door of employment opportunity to handicapped but occupationally qualified persons. Let us begin now."

To improve your communications

STOP... SPEAK... & LISTEN

by L. J. ANDOLSEK, *Commissioner*
U.S. Civil Service Commission

COMMUNICATIONS FAILURE sometimes seems a commonplace in the Federal service—a costly commonplace we cannot afford! Too frequently we fail to communicate effectively with our internal publics, with organizations representing our employees, and with important external publics. And the clogging of communications channels is costing us heavily in terms of efficiency and economy in Government operations.

This is an unsettling impression I have drawn from observations in Washington and various centers of Federal employment throughout the country during my first year as a Civil Service Commissioner.

I hope to convince you, by examples of incomplete communications I have seen, that these are problems everyone with management responsibilities should be on guard against. And I would offer some candid comments on why we have them, some down-to-earth views on how they hurt us, and some commonsense suggestions on how we can solve them.

LET'S LOOK FIRST at the kinds of communication collapse that cause me concern—

I have seen situations where personnel workers still do not clearly understand that their job is *solely* to help top management acquire, develop, and retain the best possible human resources to achieve *management's* mission. Somehow they haven't got the word that the personnel function should be mission-oriented and mission-supporting—not operated in a vacuum for its own sake.

I have talked to employees who were only vaguely aware of the Federal merit promotion program, now in its sixth year. They didn't know, for example, how a vacancy in their office, shop, or laboratory would be filled under the promotion system. A recent Commission study of the program showed that while a majority of employees contacted during Commission inspections had some knowledge of the promotion plan which applies to positions to which they might aspire, a significant number did not. As a result of our findings, we have begun a vigorous action program to see that agencies gain broad management-employee understanding and support of the program.

I have seen the puzzlement on the faces of employees who *want to know* something they have a *right* to know and *should* know—and simply cannot find out. So they ask me, and because of my connection with the Commission they are innocently confident that I can answer all their questions.

However, more often than not their questions concern such things as working conditions, hours of work, promotion procedures, and grievance systems. They are questions I cannot answer because they relate to worksite situations and subjects covered by agency or installation rules. They are questions which should be answered by their personnel office or supervisors because they are *their* rules and they are on the scene.

I have talked to many hard-working employees who—two and a half years after Executive Order 10988—still don't understand the new ground rules about employee-management cooperation.

But, to be fair, I have also seen situations where management also seemed not to have gotten the word—to be cool toward employee organizations even in the face of a strongly worded headquarters policy statement to the contrary.

Then the representatives of employee groups—I have met with some who still don't distinguish between the

rights of consultation and negotiation under the program, and others who persist in believing that they are entitled to negotiate in areas that the Executive order defines as not negotiable.

But this is only one area of many where faulty communications cause misunderstanding on the part of management itself, employees, and the public.

One of the most striking situations was that of a top administrator who, two and a half years after the Presidential policy on equal opportunity had been announced, found many of his field managers still standing on the dime and had to read them the riot act.

"These few examples . . . should serve to explain my concern and why I think you should be concerned . . ."

I remember the case of a Government research scientist who resigned because he did not wish to assume any administrative duties—he had been given the understanding that he could not advance higher on the salary ladder if his assignment called only for research work.

And there is the most recent illustration of President Johnson's call for prudence and economy in Government being translated into a "freeze" on hiring—a public misconception still playing havoc with our campus recruitment efforts.

FAILURES TO COMMUNICATE with the public at large are legion. For example, there is the outmoded "army of clerks" image the public continues to hold in an era when the civil service has become a corps of skilled specialists making their mark in areas ranging from astronomy to zoology. The public's lack of knowledge of this new civil service and its persistence in holding to damaging stereotypes hinder quality recruitment and add to its cost.

These few examples of situations I have seen should serve to explain my concern and why I think you should be concerned.

Now let's look at the three principal publics I identified earlier, discuss why effective communication with them is vital, and consider a few fundamental ways we can close the gaps in communication with them.

COMMUNICATION WITH EMPLOYEES

In setting out a short summary of why effective communication with employees must be a primary concern of everyone in the management line, I will put it in the simplest terms of *what's in it for you.*

Everything you seek to accomplish as a manager depends on people. Internal communications should be calculated to cement a bond of confidence and understanding between management and employees so that the organization's full potential and total effort is directed at getting the job done. A measure of free will of employees is involved. Giving their full cooperation is voluntary, so the degree of efficiency an organization attains depends in part on how willingly workers contribute their capabilities.

Therefore, you need to give employees a clear understanding of the what and why of organizational goals, how they relate to the worker, what the stakes for the work force are, and how employee performance and progress are measuring up to requirements. Their response will depend in large part on what you communicate and how. Communication is the vital factor in achieving high employee morale and motivation, lower absenteeism and turnover, and greater productivity. Effective communication can spell the difference between a tight ship and one drifting aimlessly on a sea of uncertainty. It can be the make-or-break factor in meeting the President's expectations of improved management and greater efficiency and economy in Federal operations.

We should also recognize the dual role of employees in our communications complex. They are not only our most important public, they are also a main channel of communications to our other vital publics.

Now I know that every manager recognizes the importance of and has set up systems for employee-management communication, but I wonder if enough attention has been given to *what is understood.* This is what really counts.

TOP MANAGEMENT has to set the tone and assure the means for facilitating a constant flow of information vertically and horizontally—top to bottom, bottom to top, and across organizational lines. It must impress upon subordinate management levels that the free flow of information—keeping channels of communication open—is an essential, everyday part of the management process. And it should insist that these principles are practiced.

But I am a good enough student of human nature to know that it takes more than a statement of aims, and more than a prescription for action, if those aims are to be met. It takes consistent followthrough action and at-

tention by top management to make sure that everyone down the line gets the word.

The proper tone is established through proper *attitudes* that must be evident at all times.

The first attitude is that of *oneness*—an attitude that the organization is not solely or even primarily centered around the higher echelons, that it is every single person on the rolls, and that everyone is important to teamwork and mission achievement.

The second is an attitude of *caring*—honestly caring about employees' problems, growth and development, achievement, recognition, and work satisfactions.

The third is an attitude of *sharing*. Management tends to keep too much information from employees, both intentionally and unintentionally. Unwillingness to share is best characterized by the tight-lipped defensive attitude of "who has a *right* to know?" I suppose that, in any given situation, very few people would have the right to know. On the other hand, perhaps everyone *should* know. When we are not sure we should communicate to the largest number.

If all organization communications were planned on this premise, I am sure a much higher level of understanding would exist throughout the structure. And I am also sure there would soon exist an *esprit de corps* that would give the Marines a run for their honors.

The companion of what you say is how you say it. Here again, attitude is important and I shall call this fourth attitude that of *bonding*. A transmission of meaning can help weld a proper bond between the speaker and the listener. The most effective communicators approach their audiences with an attitude like this:

> **I will always try to speak to you as if I were on the listening end rather than the talking end. I will always make a conscious effort to word my communication in relation to your conditioning, your experience, your interests, your capabilities, and your needs. This will help you identify yourself with what I am saying. Further, I will speak in clear and simple terms, conscious of avoiding words, phrases, inflections—even gestures—that may suggest what I do not intend to suggest, and I will repeat what I am saying as necessary until you give me to understand that you understand.**

The fifth attitude is that of *truthfulness*. What is communicated must have integrity and believability—or it would be better to communicate nothing at all. If few promotions are being made because of a critical shortage of funds, we should say so, rather than leave room for employees to think we have forgotten them or decided that few of them are qualified to assume greater responsibilities. Tell them the whole story—that it is, hopefully, a temporary situation, and that to the extent possible vacancies will be filled by promotion or reassignment rather than outside hiring. Tell them these things *if they are true*. And whatever you tell them, make sure that later actions don't give the lie to your best intentions.

Ways of communicating up, down, and sideways are abundant in any organization. Too often we rely too heavily on our agency house organ, bulletin boards, and management letters. Since we utilize these channels and feel they are operating smoothly, we tend to think we have fulfilled our communication responsibilities to employees. These *are* vitally important media of communication, but they are only three of many. Actually our array of communication channels ranges from our orientation program and policy statements to news releases and exit interviews—with such things as manuals, handbooks, supervisory relationships, and training programs sandwiched in between.

COMMUNICATION WITH ORGANIZATIONS

Executive Order 10988 makes it a matter of public policy that management must demonstrate an "affirmative willingness" to cooperate with recognized organizations of Federal employees. It is the duty of managers to put this policy into practice. The essential ingredient in employee-management cooperation is communications.

The Presidential order officially gave organizations of employees a means of securing a positive voice in the shaping of personnel policies and working conditions. Some 740,000 employees are now covered by exclusive recognition agreements giving employee organizations the *right* to enter collective negotiations with management in behalf of all employees in the bargaining unit—whether they are members of the employee organization or not.

Despite the impressive number of cases in which unions have won exclusive or formal recognition, it is surprising how little change in relationships there has been in some organizations. "Affirmative willingness" remains a phrase in many places. Many managers persist in protecting management "prerogatives," while some union representatives refuse to recognize that any remain under the new order.

It should be clear that neither position is defensible, for there can be no profit for management or unions in "doing business at the same old stand." And I am inclined to believe that management can be the biggest benefactor of a conscientious effort to improve the climate and substance of employee-management cooperation.

Since these organizations represent employees, it is reasonable to assume that they reflect employee views. If they express dissatisfaction, it is likely they are only giving voice to grievances on the part of the work force. If their representations serve to bring a correctable condition to management's attention, it is in management's best interest to remedy the situation as equity and the public interest indicate.

If this cooperative process can remove one impediment to efficiency, clear up a communication collapse, make em-

ployees and their representatives feel they have made management see the light—everybody wins.

Without trying to prescribe a program for improved communication with employee organizations, I would pose a few questions just as thought starters suggestive of actions you might want to consider—

- When did you last invite representatives of employee organizations in for a briefing, to discuss a problem, or just to learn what currently concerns your workers?
- Do you provide a place of honor for leaders of employee groups at awards ceremonies, anniversary observances, or in connection with visits of VIPs?
- Did your house organ report on the granting of exclusive recognition to an employee organization? Feature a picture of the signing of the agreement? Publicize principal points of the agreement?
- Do you *really* consult employee groups on contemplated changes in working conditions—or call in employee leaders only *after* you have definitely decided what changes to make?

Objective answers to such questions, and decisions to demonstrate "affirmative willingness" to cooperate, could make a big difference in relationships—with big dividends for management and employees.

COMMUNICATION WITH EXTERNAL PUBLICS

While the problem of communication with internal publics often is a case of "everybody talking, nobody listening," the principal problem in communicating with external publics more often is caused by a failure to *speak*. Federal managers certainly are far more public relations conscious than was the case a few years ago, but many of us still have a way to travel toward fulfilling our responsibility for stewardship reporting to our stockholders—the American people.

We need to give more than lip service to the truth that an informed citizenry is the strength of representative government, and to assure that our subordinates are ever mindful that effective operation of our programs depends on public understanding and support.

Since the great majority of Federal business is done in hundreds of localities throughout the country, where our installations may be mainstays of the local economy, we need to accept the fact that Government establishments—like their industrial cousins—have certain responsibilities of "corporate citizenship" in their communities.

It is a truism that the things we do worst become best known, the things we do best least known. But this situation could be reversed in time if we consciously sought to communicate the facts about our strong points to our publics. However, we need to remember, too, that propaganda won't do the trick. Rather, we need to work to eliminate what represents "our worst" so that these faults won't continue to plague us.

We need to keep always in mind that our actions sometimes communicate more clearly than our words—a discourteous clerk, pointless transfers of telephone calls, delays in answering our mail (and failure to answer questions in our correspondence), refusing to rid ourselves of senseless red tape and time-honored but outmoded ways of working and thinking. We need constantly to examine our operations where they touch the public and be always alert to irritants that can and should be eliminated. We need, in short, to live right—and tell our publics about it.

The benefits of consistent management attention to these important areas of communications can be the building of a bank of public good will and understanding—and public support when we need it.

IF I HAVE PAINTED a picture of widespread confusion in our communication complex, I want to conclude by saying that the illustrations I have cited are exceptions, rather than the rule. I do not mean to suggest that Government is a modern Tower of Babel, for it is not. But our bigness and complexity do make communication more difficult and magnify even the few failures I have cited.

By and large, I believe Federal managers are sensitive to the importance of effective communications with their internal and external publics. And for the most part the systems they have established for good communications seem to be working well. If my emphasis on examples of communication collapse seems contradictory, it is because I believe that anything short of perfection in this vital area merits management attention. I am convinced that every man hour we devote to assuring effective communications with employees, employee groups, and our external publics will pay for itself many times over in increased efficiency, economy, productivity, and public cooperation.

LARGEST COMMERCE AWARD of $6,000 was made recently to a National Bureau of Standards team of 7 mathematicians whose computer wizardry in the National Fallout Shelter Survey saved at least $10 million. Winners, shown with NBS Director, Dr. Allen V. Astin (seated) are (left to right) Louis Joseph, Maxine Paulsen, Irene Stegun, Ruth N. Varner (seated), Peter O'Hara, and William G. Hall. The seventh recipient, Jeanne Beiman, participated in the presentation via conference telephone from Boulder, Colorado. (*NBS photo*)

The Manager, the Classifier, and UNWARRANTED GRADE ESCALATION

by SEYMOUR S. BERLIN, *Director*
Bureau of Inspections
U.S. Civil Service Commission

PRESIDENT JOHNSON'S INSISTENCE on increased efficiency and economy in Government has spurred a search for more and better ways to improve management, increase productivity, and save money, manpower, and materials—with encouraging early results. And while the President has expressed high satisfaction with progress made thus far, he has also made clear: "We can do better; we must."

In several statements since the start of his administration, the President has emphasized that he looks to management—from agency head to first-line supervisor—to make the Government a model of efficiency and economy. He has called for improved organization structures, reduced personnel requirements, and greater productivity. He has also urged curtailment of less urgent programs, better procurement practices, and limiting of travel and space requirements. He has insisted on a total team effort, top to bottom, line and staff, headquarters and field.

"I challenge all of you to engage in a competition for greater economy and efficiency in Government operations. This is a competition among Federal organizations as well as among individuals, and its true goal is accomplishment of *all* the Nation's essential business," the President has declared. "Let's demolish what is antiquated, rebuild only what serves a continuing purpose, and clear some ground for brandnew methods."

CONTRIBUTING FACTORS

Since personnel management represents a fertile field for effecting economies and increasing efficiency, the Civil Service Commission has geared itself to give the greatest possible assistance to agency efforts to respond to the President's challenge.

The relationship of effective manpower utilization practices to the President's program for prudence and productivity has prompted the Commission and the Bureau of the Budget to undertake a critical review of management practices at all levels, with particular reference to organization and grade structure. This has given us cause to conclude that some measure of *unwarranted* escalation of grades of positions is a part of the pattern of recent organizational changes in many agencies. While we have not been able to determine with certainty how much unwarranted escalation might have occurred, we have identified some of the major contributing factors. And we can prescribe the safeguards and actions that should prevent it in the future.

Few would debate the fact that much of the increase in the proportion of higher-grade positions to lower-grade jobs has been fully warranted by technological advances and changing missions of Government—factors that have affected the makeup of the Nation's work force at large as well as that of the Federal service. The advent of the atomic-space age has brought vast and swift changes in technology, created many new occupations and made others obsolete, multiplied the need for the high-skilled and lessened needs for the unskilled and low-skilled. At the same time, the Government has moved to meet new problems, established new agencies and programs, and accommodated traditional activities to an era of continuing change. (For details see "The Changing Federal Service" in the April–June 1964 *Civil Service Journal*.)

All of these developments have contributed to grade escalation that is fully justifiable, will continue—and is another story. What I will address my remarks to is that lesser portion of grade escalation that appears to have been unwarranted, cannot be justified, and must be stopped.

ULTIMATE RESPONSIBILITY

The probability that there is an element of unwarranted "grade creep" puts the spotlight on the process of position classification and raises such questions as—

- Shouldn't the proper application of sound position classification and Commission audits have prevented any unwarranted escalation?

- Hasn't some "grade creep" been caused by deliberate overgrading of jobs?
- Shouldn't the Civil Service Commission withdraw from agencies some of the freedom they have in classifying jobs to prevent further calculated overgrading of jobs?
- Is the Commission really doing enough to keep agencies from making misclassifications?

To answer these and similar questions we need to (1) clarify the proper role of position classification in the management process, (2) identify who is responsible for position classification, (3) discuss the relationship of position classification to unwarranted grade escalation, and (4) clear up a few myths that tend to obscure and confuse the picture.

To start, I think it would be helpful to review some personnel history.

The Classification Act of 1923 centered responsibility for its administration and actual individual position allocation for departmental jobs in the Civil Service Commission. As the Federal service grew, particularly during the World War II period, it became very apparent that this centralized approach to classification of positions was wholly impractical.

The Classification Act of 1949 made a fundamental change in the underlying concepts and philosophy of position classification by putting the responsibility and the process into the mainstream of management. The law clearly and specifically placed responsibility for establishing and classifying positions on the head of each department and agency. It also clearly stated that position classification shall be part of the overall management process. The Commission was given the responsibility for (1) setting standards, (2) reviewing agency operations to make sure they are carrying out their responsibilities under the law, and (3) providing a means by which employees themselves can appeal to the CSC on their job classifications.

What do we mean when we say that position classification is in the mainstream of management? It's a well-rounded phrase that falls trippingly off the tongue, but what has it got to do with a position classifier studying a job description, looking at the classification standard, and putting a label and a price tag on the job?

The answer is simple. The classification of the job is the result of management decisions which occur long before the position classifier takes his formal action. The classification of the job is all but final after the manager decides what duties are to be performed, how the position will relate to other jobs above and below it in the organizational hierarchy, how much review there will be of the work, and so on. Measuring the job against the appropriate standard and putting on the label and price tag is only the final step in this total management process—not the entire process itself.

In a recent letter to agency heads, the Director of the Bureau of the Budget put the process in perspective and succinctly stated where the responsibility for classification control rests. He stated:

> **The primary responsibility for control of the grade structure in your agency necessarily rests with top management. The grade structure of an agency is largely determined by decisions which the agency head makes with respect to organization, allocation of responsibilities, definition of job content, and structuring of work processes. Similarly, the review and approval of the establishment of new positions or the upgrading of old ones lies within the area of supervision and authority of the agency head.**

In these words, the Budget Director summarized the practical workings of the system of classification which the Classification Act of 1949 established.

The proper role of the agency position classifier in the process is to help the responsible manager in carrying out his legal and management responsibilities. Like the personnel director and other personnel specialists, the classifier needs to relate his function more closely to program substance and missions of his agency. He must identify with management and be, in fact, part of the management team. He owes no special allegiance outside of his agency—either to the Classification Act as an abstraction, or to the Civil Service Commission as standards setter and auditor of agency actions. His major function is to advise the manager as to the classification effect of management decisions based on his expert knowledge of occupations, CSC standards, and sound organization and flow of work in getting the agency's job done.

The ultimate responsibility belongs to the manager—not the classifier. The manager cannot avoid this responsibility. If he seeks to deliberately overgrade or asks his position classifier to misclassify a job, he has not cleverly outfoxed his personnel office, duped the Commission, or "beat the system." He has simply evaded his own legal and management responsibility.

But let me make one positive assertion. Deliberate violation of requirements of civil service standards in classifying jobs is not prevalent and does not account for unwarranted grade escalation. In our inspection of position classification programs, we have found very little overgrading of jobs in relation to Commission standards.

On the other hand we have found that many agencies have not been sufficiently concerned with tight, cost-conscious organization of work. They have not generally employed effectively the insight they could gain from utilizing their position classifiers when making the basic management decisions that determine grade structure. And this has been a far greater factor in allowing unwarranted escalation than the occasional deliberate or mistaken misapplication of standards.

It is mainly the kinds of management decisions described in the Budget Director's letter that created unwarranted grade escalation—

- Fragmentation of high-level duties among many jobs combined with lower-grade duties
- Too many supervisors in relation to those supervised
- Too many levels of supervision
- Too much duplication of effort
- Too many special assistants
- Deputies where deputies are unnecessary—two or more deputies where one would do.

When the manager decides to create a fourth section where he has had only three and thus sets up a new section chief, decides to give lower-grade employees additional higher-grade duties, breaks up one high-level job and spreads the duties among three employees at the next lower level, he is forcing classification decisions that upgrade jobs and establish greater numbers of high-level jobs than may be needed.

All of these and other practices can raise the grade structure significantly *without misclassifying a single position under the standards!*

For a case in point let's consider an agency that decided to allow the spreading of higher-grade work as thinly as possible simply to justify higher grades. Greater numbers of higher-grade positions resulted *without misapplication* of CSC standards. If, by this method of organizing, the agency made the greatest contribution to its mission accomplishment, its decision might be hard to criticize. It is doubtful, however, that in fact such contribution was made.

Consider another situation. In an inspection of a field installation, the Commission found that 90 percent of the technical work being done was of the grade GS–9 level based on Commission standards, and yet a majority of the staff were in positions classified in grades above GS–9. Here it is evident that management had distributed its technical work in such a way that a seemingly unnecessary number of higher grades resulted, but correction would require a change in organization and work assignment rather than merely classification down-gradings. This type of activity cannot be prevented through classification control outside the management line.

These illustrations lead, in my opinion, to one inescapable conclusion: The major responsibility for unwarranted grade escalation must be put on the doorstep of the manager.

One thing is sure. We are not going to prevent unwarranted grade escalation or unsound organization and alignment of work that leads to grade escalation by looking only at individual jobs to see if they are reasonably classified under CSC standards. We need to consider classification in the context of the total management function—in the mainstream of management. Only the manager, making the most of the abilities and advice of the classifier as an occupational and organizational analyst, can clamp the lid on and keep it tight.

MISCONCEPTIONS

Earlier I mentioned some myths that have become current about position classification and its supposed failures to control grade escalation. Let's look at these misconceptions—and at the facts that should provide them a decent and final burial.

One of the most prevalent myths about escalation is that it was caused by relaxing Civil Service Commission control under the 1949 Act. This one has no foundation in fact. In the last 7 years under the Classification Act of 1923, the average grade increased by 1.32 grades, from 3.93 to 5.25. In the first 7 years after the enactment of the Classification Act of 1949 relaxed the controls of the 1923 Act, the average grade increased by only .67 grades, from 5.25 to 5.92. In the last 6 years of control under the 1923 Act, the percentage of positions in grades GS–11 and above increased by 80 percent, but in the first 6 years under the 1949 Act—with the controls presumably relaxed—the percentage of positions in GS–11 and above increased by only 28½ percent. From 1937 to 1939, before there were any war pressures on the classification system and while centralized controls of the 1923 Act were still at their height, the percentage of positions in GS–11 and above increased by 7.8 percent.

The specific figures are unimportant. The point is that relaxing Civil Service Commission controls under the 1949 Act neither started nor accelerated the trend toward "grade creep." Escalation has been a part of the system since its inauguration. In a recent study of grade escalation, the Commission found that it has occurred outside of the Government as well as within and is only one aspect of our expanding total economy. The Commission is determined to curb those practices not warranted by sound management decisions and by reasonable application of classification standards.

Another perennial misconception asserts that *today's misclassifications are tomorrow's standards.* This canard has been circulated ever since the Commission started to write standards. I deal with it only because it may have deceived the unwary.

The standards-writing process, as performed by the Commission, is a painstaking and thorough analysis of occupations. An important part of this analysis is the relating of grade-level concepts in the particular occupation to the basic grade-level definitions in the Classification Act through the medium of benchmark standards. The tentative conclusions of the standards writer are then scrutinized by hundreds of unsparing critics—agency classifiers, key program officials, union groups, professional societies, etc. All get a full turn at bat.

The standard that emerges is as sound and valid as possible. Where the standard supports existing grade levels, it compliments the wisdom of agency classifiers who made correct grade determinations without guidance of a current standard. Standards that require upgrading

reflect occupational changes caused by technological advance or agency program change.

Contrary to common belief, most standards of the past few years have not generally upgraded the positions covered. They have permitted some jobs to move to their proper levels by removing some of the overly restrictive provisions of older standards. For example, some older standards held down grades of nonsupervisory positions by failing to recognize that there were types of jobs in the occupation without supervisory responsibilities that warranted higher classification.

One of the most widely held misconceptions is that *the classification process is primarily a control mechanism.* This mistaken idea has brought both the classification system and classifiers into some disrepute with managers. Classification *does* have control aspects, but it is *primarily* an orderly method of grouping like positions for like management treatment. To state that classification is primarily a control implies that management is irresponsible and must be curbed. Position classification is a system set up by law and contains expressions of public policy which the manager must follow in discharging his functions, but it is not primarily a control. It is primarily for the purpose of helping the manager get his job done through orderly work assignments and equitable treatment of employees.

Another unfounded idea is that *when you put the classification authority too close to managers, the accuracy of classifications deteriorates.* This implies that only a classifier, far removed from the pressure which the manager feels, can do an accurate job of position classification. This is complete nonsense. The farther away from the position a classifier is the more likely he is to have inadequate knowledge, incomplete understanding of the environment in which the position operates, and a faulty conception of how the position fits into the overall mission. Knowledge of job content and management intent increases with nearness to the job and more than offsets the so-called expertise of the outside classifier who bears no responsibility for management decisions or mission accomplishment.

There are those who hold fast to the mistaken idea that *jobs with the same general title and in the same general occupational area should be uniformly classified.* Jobs located in a pool may be identical, but jobs located at similar spots in widely dispersed installations or units are not likely to be uniform in job content. Differences in mission, differences in management decisions, and differences in employee capability and motivation make uniformity of job content most unlikely. Each position needs to be classified on its merits with reference to applicable standards. We get into serious trouble when we try to use comparisons with allegedly identical positions elsewhere as the primary basis for classifying jobs.

Another widely held idea is that *line managers will try to get around the system.* When managers understand their responsibility, they make every effort to take responsible action, whether it be in classification or in other management areas. If they can't be trusted in grading jobs, then our complete system of management direction and responsibility in carrying out their vital governmental missions is bankrupt. Obviously, this is not so. The few irresponsible managers who may exist cannot be controlled from outside the management line. Only higher management levels can deal with them.

THE MANAGER—THE CLASSIFIER

All of these misconceptions tend to obscure the identification of responsibility. On the basis of our inspections, I can state that, from a *technical* standpoint, position classification is one of the best administered personnel functions in the Government. Position classifiers are well trained, standards are more professional, and we find reasonable accuracy based on classification standards.

We do find, however, that in most personnel offices the main effort in the classification program is misdirected toward individual jobs, concerns itself solely with strict application of standards rather than with organization and management analysis, and attempts to act as a control on management. Technique is a natural part of any system, but the main thrust of the classification program must be on assisting the manager to accomplish his mission by advising him on the classification effects of alternative courses of action, on the standards to be used, and on the requirements of public policy. The classifier is responsible for suggesting to the manager other solutions to the problem when the classification solution appears either inadequate or impossible. He must constantly preach the doctrine of management responsibility, and beyond that he must help the managers with whom he deals to take responsible action.

Classifiers must move consciously toward becoming effective organization analysts. They are in a position to point out to management duplication and overlapping of functions, inefficient work flow, need for more adequate instructions or supervision, and the presence of excessive supervision or too much staff assistance.

Classifiers also are a cohesive part of total personnel management and must relate their functions to recruiting, placement, employee relations, reduction in force, and all the other facets of a complete personnel program. Classifiers particularly need to develop strong management identification with the management level to which they are assigned, and this must be accomplished through a sense of responsibility in the management line—not separate from it. The classifier needs to remember that classification is a means to an end—it does not and cannot exist aside from substantive mission. The classifier can operate effectively only as a member of the management team. Wherever he is not a member of this team, his

(Continued—See ESCALATION, page 24.)

734-727 O-64-2

LEGAL DECISIONS

REDUCTION IN FORCE

Keener v. *United States,* Court of Claims, April 17, 1964. Plaintiff was separated when his GS–18 position was abolished in a reorganization. After losing his appeal to the Commission he tried to persuade the Court that the Commission's decision was arbitrary and capricious because the reorganization was a subterfuge and had no real purpose other than his discharge because of the strained relations between him and the Deputy Administrator. The court dismissed the petition, stating, "We do not believe that the possible 'taint' of a lower-level purpose, which acknowledged that the reorganization would also relieve the subsidiary problem of a conflict between two subordinates, should invalidate the Administrator's otherwise lawful decision. This secondary consideration was the sauce which spiced the roast but added little to its nourishment."

REMOVAL—SECURITY

Harrison v. *McNamara, et al.,* District Court, Connecticut, April 13, 1964. This case was decided by a court of three judges, as required by 28 U.S.C. 2282. That section requires that an action for an "injunction restraining the . . . execution" of a Federal statute for repugnance to the Constitution be heard by a court of three judges.

Plaintiff was a temporary employee. He was removed under the Act of August 26, 1950, 5 U.S.C. 22–1, the security-removal statute. As a temporary employee he was not entitled to a hearing. He contended that he was entitled to a trial-type hearing under the Due Process Clause of the Fifth Amendment, and, alternatively, that the statutory distinction between permanent employees (entitled to a hearing) and temporary or probationary employees (not entitled to a hearing) is an unreasonable classification violative of the Equal Protection Clause of the Fourteenth Amendment, as incorporated into the Fifth Amendment.

The court disposed of the latter contention by stating, ". . . we find that the statutory distinction is not so unreasonable as to constitute a denial of the equal protection of the laws, assuming *arguendo,* that the Fourteenth Amendment to that extent has been made operative against the Federal Government. Unless there is a constitutional right to a hearing on the part of all employees, it is not unreasonable for Congress to give additional protection to permanent employees, who have been led to expect, by virtue of their having been accepted into that status, that their employment for a period of many years is contemplated."

With respect to the application of the Due Process Clause, the court pointed out that plaintiff was relying mainly on *Greene* v. *McElroy* and that "The major distinction between that case and this one, of course, is that here a statute specifically authorizes the procedure that was followed." The court concluded, "While a government employee of any sort has the right to be free from discharge on arbitrary or discriminatory grounds, . . . we cannot say that the action or procedure here violated this right."

The case is significant because a distinction between the rights of temporary and permanent employees is contained in the Lloyd-LaFollette Act and in section 14 of the Veterans' Preference Act.

AGENCY REGULATIONS

Spector v. *United States,* Court of Claims, March 13, 1964. Plaintiff sued for back pay, alleging that the Commission, in adjudicating his appeal following his removal, should have determined whether the agency had followed its own regulations. The court dismissed the petition, stating in part:

". . . At the time of plaintiff's appeal, the Commission refused to enforce such departmental regulations. Subsequently, the Commission changed this position (following *Watson* v. *United States,* 142 Ct. Cl. 749, 162 F. Supp. 755 (1958)) and decided, prospectively, to overturn personnel actions which failed to meet departmental or agency requirements. We think that under the Lloyd-LaFollette Act, 5 U.S.C. § 652, the Commission was within its legal authority in choosing to confine its consideration, prior to September 1959, to the applicable Federal statutes and Commission regulations. It was a matter of administrative discretion whether to go beyond those limits, or not; the Commission's later policy-choice does not void the earlier one."

REMOVAL–CAUSE

Turner v. *Kennedy,* Court of Appeals, D.C., April 2, 1964. Plaintiff, a veteran, was removed from his position as special agent, Federal Bureau of Investigation, on charges based on statements made by him in letters to a Senator and a Member of the House of Representatives, regarding his treatment in his position, and other personnel conditions in the agency. He contended that these charges did not constitute good cause for his removal since under the First Amendment he had a right to petition Congress for a redress of grievances. The District Court dismissed the case and the Court of Appeals affirmed, with one judge dissenting. Since neither court wrote an opinion, the reasoning is not available to us.

—John J. McCarthy

Open Question:

CHANGE OUR SICK LEAVE SYSTEM?

Use and misuse of sick leave is a problem to every employer who has a paid sick leave system. The Federal Government is no exception. From time to time allegations of abuse are heard, and various methods of reducing sick leave are tried. In Government, as elsewhere, they are seldom spectacular successes.

by ELIZABETH F. MESSER
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The Civil Service Commission has made an extensive study of the Government's 1961 sick leave experience as an aid in determining whether the system, described in box on this page, is the best one that can be devised. This article highlights results of the study, poses some questions about the findings, and speculates about possible approaches toward improvement.

THE RECORD

In 1961, two pay increases ago, Federal employees used an estimated half billion dollars' worth of sick leave. They had eight times more—over four billion dollars' worth—still available to them. They don't seem to be heavier users of sick leave than their non-Federal counterparts but the figures, projected from a Commission study of the records of more than 91,000 employees, nevertheless deserve Federal managers' serious consideration. So do some of the other findings.

The study produced a wealth of statistical data on sick leave used, and earned but not used, by "active" employees (those still on the rolls) and "separating" employees (those who left the Federal service). These data, accompanied by information about background and methodology of the study, are analyzed in detail in a 63-page *Draft Report—Government-wide Sick Leave Study—1961.*[1] The major findings can be summarized, however, in these six facts:

Fact no. 1: Active employees used 8.3 days of sick leave per employee in 1961, slightly more than they used in 1955; they had an average balance of 66.4 days of unused leave per employee.

Fact no. 2: Employees who left Federal service during 1961 used 22.6 days of sick leave—nearly half of all that was available to them—per employee during their last year of service; they had an average balance of 27.4 days per employee when they left.

Fact no. 3: Higher sick leave use by separating employees was not due wholly, or even principally, to disability retirement; employees leaving for other reasons also used much more than active employees (Figure 2).

FEDERAL SICK LEAVE SYSTEM

MOST FEDERAL EMPLOYEES are entitled by law to sick leave with pay accruing at the rate of 13 days a year and with no limit on the amount that may be accumulated. At their agencies' discretion, they may be advanced up to 30 days of such leave, which does not have to be repaid in case of death or inability to return to work because of a disability evidenced by an acceptable medical certificate. Sick leave may be used for disabilities whether or not duty incurred; illness, injury, pregnancy and confinement; medical, optical, and dental examination or treatment; and, in some circumstances, for contagious disease in the immediate family. It is provided as a form of insurance, to be used only when actually needed for those purposes, rather than as an earned benefit or a part of the employee's basic compensation; there is accordingly no pay, conversion, or other credit for unused sick leave. This particular system has been in effect since 1952.

Fact no. 4: A fourth of all employees who left "came out even" with zero balances, neither giving up any unused leave nor indebted for advanced leave. Many more separating employees used 13 days—the exact amount earned—than used any other specific amount (true of the "quits," who represented two-thirds of all separating employees, as well as of others).

Fact no. 5: Very few employees, even counting disability retirees, used large amounts of sick leave at a time: only 7 percent of all employees who left, and only one half of 1 percent of active employees, used more than 3 months of sick leave during the year.

Fact no. 6: Most sick leave absences were very short ones, nearly 73 percent lasting 1 day or less and only 1.6 percent lasting more than 10 days (Figure 3).

WHAT'S BEHIND THE RECORD?

The reasons for this record—good in some ways but subject to improvement in others—are not supplied by the figures themselves. Many possibilities are suggested, however, by the experience of administrators trying to control work absences and by employees themselves. Consider, for instance, the question—

Why do very short "sick leaves" so dominate the picture?

A partial explanation, of course, is that since sick leave is now available for medical, dental, and optical examination and treatment, it is being extensively used for that purpose. Such leave use is entirely legitimate and undoubtedly accounts for most of the 1- to 3-hour absences (almost a quarter of the total) shown in Figure 3.

Figure 1

COMPARATIVE SICK LEAVE USE
ACTIVE AND SEPARATING EMPLOYEES

Sick Leave Used: Average Number of Days, 1961

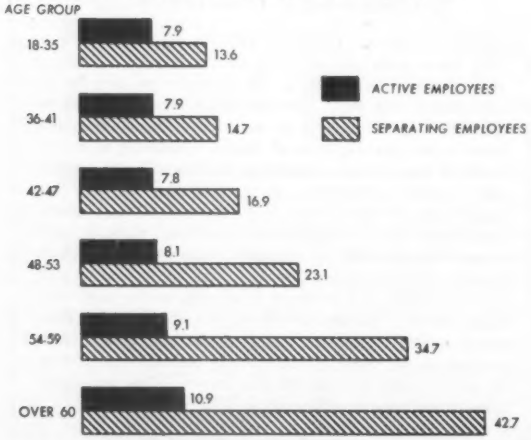


Figure 2

COMPARATIVE SICK LEAVE USE
ACTIVE AND SEPARATING EMPLOYEES
(OTHER THAN DISABILITY RETIREES)

Sick Leave Use	By Separating Employees*	By Active Employees #
Average Number Days Sick Leave Used	19.1	8.3
Percent of Available Sick Leave Used	38.8	11.2
Percent of Employees With "0" Balances	19.7	.8
Percent of Employees Using No Sick Leave	2.7	13.5

*Other than disability retirees.
#Including those on extended sick leave pending disability retirement.

Another entirely legitimate explanation is that the incidence of short-term illnesses is in fact higher than that of long-term illnesses, especially in this day of wonder drugs. But—should it be *this much* higher? Are there really this many illnesses serious enough to justify absence from work, yet slight enough to permit recovery in just one or two days? Short illnesses are easy to allege and, except in the most flagrant cases of abuse, impossible to disprove.

Certainly in most cases of very short absence the employee *could* come to work if he had to—but should he be expected to if he really doesn't feel well? Perhaps the question boils down to just *how sick is sick enough* to justify one's staying off the job. This is a sticky one; a supervisor can find himself on very shaky ground if he undertakes to decide that an employee who says he's sick really isn't.

Another angle: some employees feel that a respectable leave balance in itself justifies use of sick leave accruing over that amount as rapidly as it becomes available. One frustrated supervisor has an employee who was seldom ill before achieving a 1,000-hour balance but has since experienced so many short illnesses that the balance stays right around 1,000. All efforts by the supervisor to control this situation are countered with the argument, "I *am* sick; that's what sick leave is for; how can anyone possibly say that I don't appreciate the importance of saving sick leave when I never have a balance below 1,000 hours?"

Some suggest that one reason for the sharp drop in number of absences lasting more than 3 days is better administrative controls—e.g., home visits or requirement of doctors' certificates. Such controls probably helped some, but research studies conducted elsewhere indicate that their principal accomplishment is to teach employees to stay in the house, especially during working hours, when they've reported themselves sick.[2]

Many Federal administrators question whether doctors' certificates are effective; it is said that they can be easily obtained even when the ailments are minor, but that administrators are nevertheless obliged to accept them.

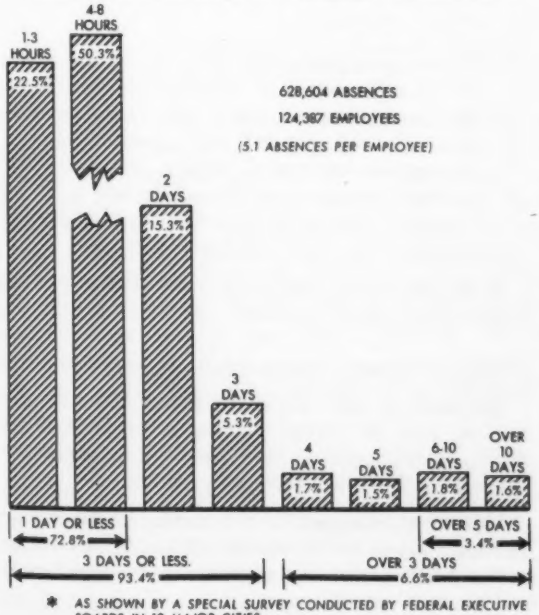
Administrative measures have their place, of course, and may possibly need strengthening in some agencies. On the other hand, some efforts to control sick leave use by "tightening up administration" can boomerang. One tongue-in-cheek philosopher on "the social relations between germs and people" (who nevertheless is reporting serious, objective research on absenteeism) has made the discovery that

> . . . germs are passionately attracted to premises where nasty bosses are in charge. You know the type—constantly breathing down the necks of employees to increase production, but completely uninterested in them as human beings. If you study sickness absences in two departments—one under a pleasant boss, the other under a nasty one—you will find that the amount of illness in the "nasty" department may be triple or even quadruple the amount in the "pleasant" department. . . . There is no doubt that the nasty boss is a veritable Typhoid Mary when it comes to exciting or communicating or otherwise stimulating germs in his employees.[3]

Figure 3

1961 SICK LEAVE ABSENCES

PERCENTAGE DISTRIBUTION BY TIME LOST PER ABSENCE *



* AS SHOWN BY A SPECIAL SURVEY CONDUCTED BY FEDERAL EXECUTIVE BOARDS IN 10 MAJOR CITIES.

Could it be that some Federal supervisors, in their striving to stop "abuse" of sick leave, are actually increasing its use?

All of these and other explanations might be summed up in the single proposition that the sick leave system is liberal; that it makes it easy for employees to use sick leave in small amounts at a time; and that it offers too little incentive for conserving sick leave. What would happen to the incidence of these short-term absences, one wonders, if they were all charged to annual leave, or if there were no paid sick leave as such? The social-behavior-of-germs philosopher advances the theory that "germs have a very high set of humane values . . . [they] only afflict those who will get paid for their time off and ignore those on whom a few days at home would work financial hardships." [4]

Whatever the specific answers and explanations—and they are undoubtedly varied—it is quite clear that most sick leaves are taken, and by most employees, to cover very short absences. Thus the system deals only occasionally with genuinely major illnesses, and relatively minor ailments account for the bulk of the recordkeeping and of the administrative headaches involved in operating it. Under these circumstances, the fundamental question to be resolved is this: *is a system which in operation concentrates so heavily, and with only moderate success, on such short-term absences really worth the time, the expense, and the strains it inevitably imposes on supervisory-employee relationships?*

Another facet of the record is equally interesting and poses even more difficult problems. This is,

Why is the record for active and separating employees so markedly different?

Average sick leave use of employees who left the service was nearly three times greater than that of employees who stayed. Separating employees used more sick leave in all age groups, at all salary levels, and regardless of length of service, sex, or pay system. In terms of percent of leave available to them, they used more than three times as much as active employees. They also had significantly smaller balances of unused sick leave than active employees had. Over 30 times more separating than active employees had zero balances—that is, their sick leave "came out exactly even." As shown by Figure 2, these differences cannot be explained away by the disability retirements among those who left. What, then, is the explanation?

One obvious answer is that many of the separating employees (in addition to the 8.5 percent who were disability retirees) left *because* of ill health. Some of them assuredly did. Among these were an unknown number who went out under an optional retirement provision but who could have qualified for disability retirement and who quite legitimately used their sick leave before departing. The adequacy of this explanation is somewhat

734-727 O-64-3

diminished, however, by the fact that retirements of all kinds accounted for only slightly more than a quarter of all separating employees. It is further diminished by the fact that employees who left were slightly younger as a group than those who remained and so might reasonably have been expected to be at least as healthy.

It is true that those who left included a number of women whose pregnancy and confinement required use of all the sick leave available to them. Their number might well have been equalled, however, by the number who did *not* resign following confinement and whose use of sick leave is therefore reflected in the record of the active employees.

Another possible answer is that some who left were not less healthy but rather were less conscientious—that the knowledge of impending departure led them to use sick leave more freely than might have been necessary. The record strongly suggests some "planned use" of sick leave on the part of quits. Possibly those who were not committed to Federal careers and who had decided to quit became both less concerned about what they could do for their employer and less amenable to supervisory influence than those who were staying.

Knowledge of impending departure may also account for somewhat freer use of sick leave by older employees contemplating or definitely planning retirement. Though not acutely ill, many such employees undoubtedly feel tired and worn out and may well conclude that under these circumstances their long service gives them a right to use the sick leave they have "earned" and saved all through the years—especially if they see others whom they consider no sicker than themselves using *their* leave before retiring. It is undoubtedly true that agencies sometimes tacitly concur in, if not actually encourage, such a conclusion either in recognition of the retiring employee's past contributions or because of the administrative necessity to open appointment or promotion opportunities to more vigorous and perhaps more productive workers.

Stated another way, employees planning to leave the service (and thus having no further eligibility for the protection provided by sick leave) may simply determine to use their leave rather than "lose" it. They may do this by using it a day or two at a time as it becomes available; by "getting sick" just prior to optional retirement; or by "trying for" disability retirement (approval of which usually assures that the agency will grant all accumulated sick leave) instead of choosing the optional retirement for which they are also eligible and which, for many, carries the same annuity and the same tax treatment.

Extensive use of sick leave, even when completely justified by the severity of the illness, can hit an agency hard. A number of long-service employees who have been healthy in the past now have unused sick leave balances of 2,000 hours, the equivalent of a full work year, or even more. These balances are much larger than they could have been under the previous system with its 90-day ceiling on accumulation. Employees may be correspondingly reluctant to lose them.

Researchers on work absences elsewhere report that the amount of time lost because of illness is directly related to the amount of time available for that purpose,[5] and there is little reason to suppose that the reactions of Federal employees to their sick leave benefit would be greatly different from those of other employees.

CONCLUSIONS

Though many of the reasons for and implications of these leave-use patterns can be debated, because there seem to be at least two sides to every part of the problem, it now appears that—

- Many employees do not accept the concept that sick leave is like insurance, to be used only when illness prevents them from working, but rather regard it as an earned benefit. They therefore feel "entitled" to use the leave since they do not receive any compensation for that they do not use.

- The system itself—by terminology and by requiring recording and "crediting" of earnings, use, and balances to individual accounts—encourages this attitude. Sick leave not used before separation is considered "lost" or "forfeited."

- Unlimited accumulation, under these circumstances, does not reduce incentive to use sick leave unnecessarily, but on the contrary, is creating increasingly serious problems.

- If employees leaving the service in the future use the same proportion of the sick leave available to them as did those who left in 1961 (and there is no reason to think they will not), agencies will face even greater cost-control, staffing, and production problems—because more jobs will be held longer by employees being paid, but not working, while they "ride out" their accumulated sick leave.

It may be time to modify the system—IF a just and workable formula can be found.

POSSIBLE APPROACHES TO IMPROVEMENT

Specialists on sick leave are numerous, and there has been no want of "expert" opinion on what should be done. Many suggestions have been made by employees, employee organizations, and agency officials.

First, there are suggestions that nothing be done about sick leave except to tighten up administrative controls within the framework of the present system—the "don't rock the boat" school.

A second type of suggestion would provide some other form of employee benefit—cash, retirement credit, or conversion to annual leave are the ones most frequently mentioned—in exchange for unused sick leave; these and other similar proposals come from the "payoff" school.

Another type of suggestion would provide for increasing sick leave benefits only for special groups of employees.

And there are some suggestions for basic change in the system.

Among staff members studying the situation there is as yet no consensus about which of these approaches would be best. Their discussions have, however, firmed up staff thinking on what a good Government leave system should do. Ideally, it should—

- protect the interest of the employee by giving him (in addition to reasonable time for vacation and necessary personal business) adequate assurance against loss of pay due to illness or injury.
- protect the interest of the Government by maintaining some reasonable limit on its financial liability as an employer.
- protect the interest of agencies, which are being forced to leave needed positions vacant in order to continue the pay of employees experiencing long illnesses.
- discourage misuse of the system and unnecessary absence from work.
- be practical in terms of records, reports, procedures, and capability of effective administration.

On the basis of the findings of the study, on Federal experience in administering leave systems, and on the experience of others, staff members are now exploring several quite different approaches to improvement, each of which would in some measure accomplish these objectives. It would be a mistake to change a system which, despite its problems, does work—unless there is reasonable assurance that the change would be *better,* that it would present fewer, or less difficult, problems. Unfortunately such assurance is not easy to come by; we have no litmus test to prove the workability of any different system.

The approaches to improvement now being explored therefore include administrative measures, not necessarily restricted to controls and "tightening up," that could be taken within the framework of the present system. Other ideas, which would represent more basic change, are also being explored. Among these are:

1. ADMINISTRATIVE DISCRETION. There would be no formal sick leave system, no "earning" or accrual of sick leave in stated amounts, no maximum allowances. Instead, appointing authorities could approve continuation of pay to employees who they are satisfied are ill, and could deny pay to employees for unexcused or excessive absences. Considerations such as length of service, past performance of duties, attendance record, ability of the operating unit to get along without the employee, and similar factors would enter into the decision. This plan would be simple, flexible; would reduce record-keeping, strengthen line management; and should protect the interest of the Government. However, it would be difficult to apply uniformly in so large a jurisdiction as the Federal Government and employees might not feel that it would adequately protect their interests.
2. COMBINED LEAVE. Sick leave as such would be abolished, but an increased amount of what is now called annual leave would be provided to cover all absences including illness. Ceilings would be raised, possibly on a graduated basis related to length of service. Employees either would be given a lump-sum payment for all leave unused at the time of separation from the service, or would be paid up to a specified number of days and allowed to use any excess over that amount before going off the payroll. This plan would reduce record-keeping, be simple to administer, eliminate excessive use of leave, assure equitable treatment of employees in comparison with one another. However, if the leave earnings and ceilings were low, the system might not provide adequately for major illnesses, and if they were high it might prove too expensive.
3. COMBINED LEAVE PLUS ADMINISTRATIVE DISCRETION. Combined leave as described above, but with an across-the-board ceiling of, say, 40 days, would be supplemented by administrative discretion to grant, or deny, additional leave needed to cover major illnesses. This approach would have the strengths listed in 1 and 2 above, and the weaknesses listed in 1.
4. REVISED ANNUAL PLUS "EXTENDED" SICK LEAVE. Annual leave earnings and ceilings would be increased. All short illnesses (e.g., those lasting 5 days or less) would be charged to annual leave, as would the first few days of every longer illness. Sick absences in excess of this "deductible" would be charged to "Extended Sick Leave," earned at a lower rate than the present sick leave. Unused annual leave would be paid off, as now, upon separation for any cause; unused "Extended Sick Leave" would be paid off, at 50 percent of its dollar value, upon retirement on immediate annuity or upon death in service. This

approach would provide adequate coverage for prolonged illness, limit absences for slight indispositions, provide an incentive for saving leave, and make "riding out" of sick leave prior to retirement somewhat less attractive. It would not reduce record-keeping, and the payment for unused leave, even though at a reduced rate, would compromise the principle, long supported by management, that sick leave is not an earned benefit.

5. COMBINED LEAVE PLUS LOSS-OF-INCOME INSURANCE. There would be only one kind of leave, earned at a somewhat higher rate than the present annual leave, with comparably higher ceilings, and with lump-sum payment of unused leave upon separation. There would also be loss-of-income insurance to cover extended illnesses, e.g., those lasting more than 10 days. Short illnesses would be charged to leave; extended illnesses would be covered by insurance effective, say, the 11th day of absence. Insurance would be available on a "per illness" basis, and would continue the employee's pay for 30 days plus an additional period of time determined by the length of his service. This approach would provide adequately for long illnesses, limit absences for slight indispositions, simplify record keeping, and remove much of the incentive to "get sick" before leaving the service, though it would not be foolproof in that respect. It would probably work out better than the present system for most employees, but some long-time employees—depending on when and for how long illness struck—would have less protection than they now have under sick leave balances already accrued. Also, some employees experiencing several short illnesses in the same year would have less vacation time available that year.

ONE OF THE knottiest problems involved in consideration of any change in the system has to do with disposition of present balances of unused sick leave. It would be extremely difficult to justify simply wiping them out. On the other hand, some of the frequently advocated "solutions" seem to be out of the question as a practical matter. Cash payment to all employees for unused sick leave, for instance, would be prohibitively expensive unless made at a greatly reduced rate, in which case it might not be an effective incentive for conserving leave. Conversion to annual leave presents the same problem. The popular suggestion that compensation be made in terms of time credit for retirement would, contrary to the belief of many, prove extremely expensive in the long run and, in addition to placing a heavy future drain on the Retirement Fund, would establish a dangerous precedent of allowing retirement credit for time not worked.

Several possibilities, however, are being reviewed by the staff. One is payment, upon death in service or retirement on immediate annuity, of a certain proportion of the dollar value represented by the employee's unused leave balance at the time the system changed. This approach could be adjusted to fit whatever new leave system might be considered desirable. If the "combined leave plus loss-of-income insurance" idea were adopted, for example, it would make sense to credit unused sick leave to the new combined leave, up to the higher ceiling set for such leave; to cancel the amount of unused sick leave that would be represented by the insurance entitlement; and to make payment only for any balance then remaining. Under the "revised annual plus extended sick leave" approach, the balances could simply be converted to extended sick leave. A completely different concept would be a "temporary annuity increase" which would raise the employee's annuity to the level of his final salary for a period equal to the number of days of unused sick leave he had when the system changed.

Any proposal for significant change in the leave system will arouse serious concern among employees, employee organizations, and others. The findings and implications of the study were therefore reviewed with employee organization leaders and with personnel directors when the study was first released. Their suggestions were also sought at that time, but no consensus was reached. Both groups will again be consulted if the Commission concludes that any change in the system is desirable. No such conclusion has yet been reached, since staff explorations are still in progress. In the meantime, line managers might well ponder the oft-repeated research finding that sick leave use and abuse cannot be separated from the larger problem of individual and group morale.

REFERENCES

[1] A few copies are still available upon request to Bureau of Retirement and Insurance, Civil Service Commission, Washington, D.C., 20415.

[2] MacDiarmid, Harold. "Partial Payment for Sick Leave—Seven Years' Experience," *Current Personnel Research Notes,* Public Personnel Association, Chicago, 1962, pp. 1–4.

[3] As reported by Thomas J. Fleming in "The Busy Social Life of Germs," *Life,* December 13, 1963.

[4] Ibid.

[5] See, for example, the three studies reported in *Solving the Problems of Employee Absence,* Research Study No. 57, American Management Association, New York, 1963, pp. 66–68. The City of Omaha concluded, in a mimeographed 1962 "Special Study—Sick Leave Policy and Use" in 29 United States cities, that "the major factor contributing to sick leave usage is the rate of accrual and maximum allowed. The rate of accrual seems to correlate most highly with the rate of usage . . . the rate of sick leave accrual is directly proportionate to the rate of sick leave usage." Similar findings are also reported in Great Britain; see Browne, Richard Charles. *Health in Industry,* London, 1961, pp. 13–15.

The President's Awards for DISTINGUISHED FEDERAL CIVILIAN SERVICE

PRESIDENT JOHNSON bestowed the 1964 Presidential gold medal Awards for Distinguished Federal Civilian Service on four outstanding career civil servants at a White House ceremony on June 22, 1964. Winners are shown with the President. The award is the highest honor that can be accorded a career employee of the Federal Government. The President said of the four employees: "They are the exceptional doers who, by selfless effort and brilliance of achievement, have made unique contributions to scientific progress, to the advancement of human rights, and to the strengthening of our national security."

HERBERT FRIEDMAN

Superintendent, Atmosphere and Astrophysics Division, U.S. Naval Research Laboratory, whose "leadership in the new science of rocket astronomy has greatly advanced the Nation's progress in space and extended man's knowledge of the universe." Dr. Friedman, 48, has served with NRL since 1942, assuming his present position in 1958. Since 1949 he has been engaged in research on the upper atmosphere, pioneering in the use of rockets to carry instruments for new experiments. His experiments have produced in the past 15 years most of the new information about the upper atmosphere and the radiations from the sun and stars. He has won high recognition and was elected to the National Academy of Sciences in 1960. Born in New York City, he holds degrees from Brooklyn College and Johns Hopkins.

LYMAN B. KIRKPATRICK, JR.

Executive Director-Comptroller, Central Intelligence Agency, who "has been instrumental in achieving significant improvements in the operational effectiveness of the CIA and the foreign intelligence activities of our country." He is 48 and has served the Government for 21 years. Joining CIA in 1947 following service with the OSS during World War II, he rose rapidly to positions of increasing responsibility. In July 1952 his service was interrupted by polio which left him with a permanent physical handicap. He returned to duty in 1953 to assume the crucial position of Inspector General for the agency. He was made Executive Director in 1962 and was given the additional responsibility of Comptroller in 1963. A native of Rochester, N.Y., he is a graduate of Princeton University.

BROMLEY K. SMITH

Executive Secretary, National Security Council, who "has revolutionized the communications system supporting Presidential decision-making and action in foreign affairs." Mr. Smith, 53, was a reporter and news editor before 1940 when he began his Federal career. From 1940–1949 he was a Foreign Service Officer serving in Canada, Bolivia and in the Office of the Secretary of State. Subsequently, he held various positions in the State Department, including serving as alternate State Representative on the National Security Council's Planning Board and member of State's Policy Planning Staff. He became senior member of the Policy Coordinating Special Staff of the National Security Council in 1953. A native of Muscatine, Iowa, Mr. Smith is a graduate of Stanford University.

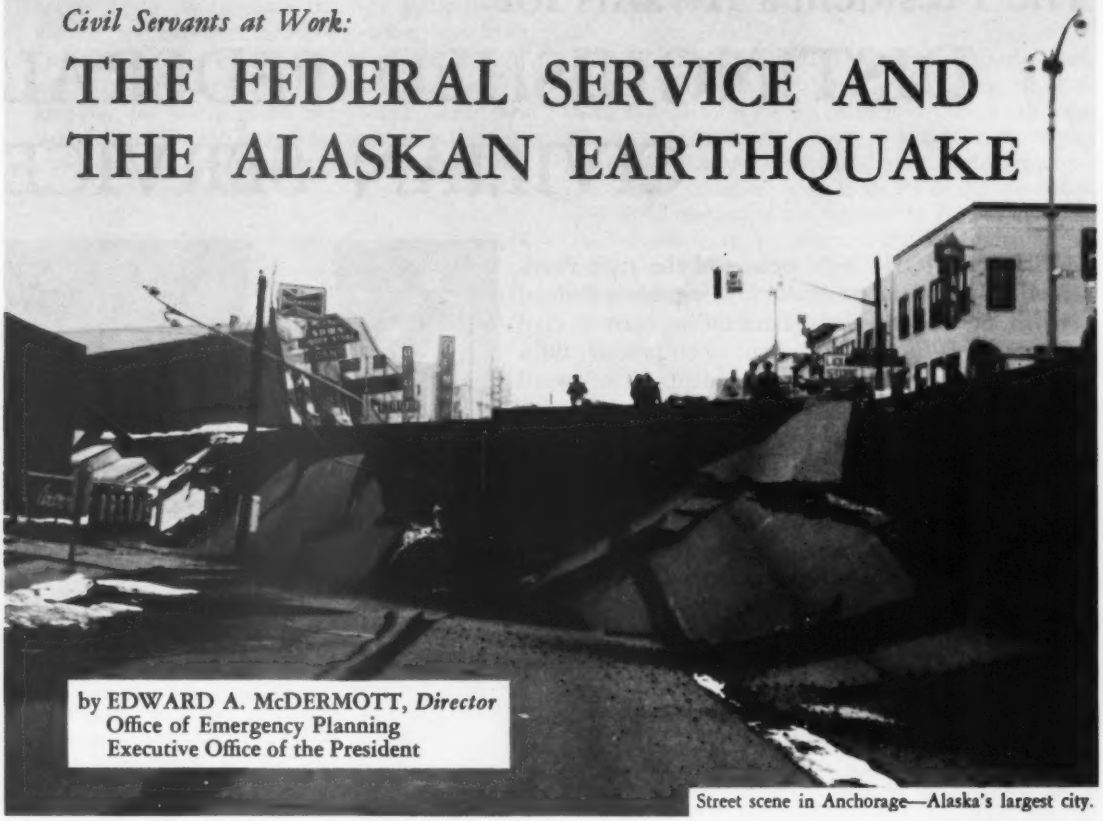
JOHN DOAR

First Assistant to the Assistant Attorney General, Civil Rights Division, Department of Justice, who "by his effective mediation has personally secured peaceful progress in human relations." Mr. Doar, 43, went to the Department of Justice as Special Assistant to the Attorney General in 1960 from private law practice. Since then he has initiated and directed some 60 civil suits to prevent discrimination in voting rights. He has interviewed thousands of witnesses and potential witnesses, and has trained a hard-working staff in the detailed preparation and organization of factual materials for presentation to the Federal courts. He holds degrees from Princeton University and the University of California at Berkeley. He is a native of Minneapolis, Minn.

Civil Servants at Work:

THE FEDERAL SERVICE AND THE ALASKAN EARTHQUAKE

by EDWARD A. McDERMOTT, *Director*
Office of Emergency Planning
Executive Office of the President



Street scene in Anchorage—Alaska's largest city.

GOOD FRIDAY was a day of catastrophe for residents of our 49th State. The bottom fell from under their land. It did not, however, fall from under their determination to rebuild their lives and cities.

The earthquake began at 5:36 p.m., March 27, with soft rumbles and slight earth movements. It increased in intensity, lasted for 5 to 6 minutes with an east-west rolling motion, and ended in coastal areas with giant tidal waves and waterfront fires.

In downtown Anchorage, Alaska's largest city, buildings collapsed and whole sections of the business district fell into a giant hole. In other towns and cities—Valdez, Cordova, Kodiak, Seward, and Whittier—damage was extensive, sometimes from the quake alone and sometimes from the added ravages of smashing waves and fire.

When the tremors and sea had subsided, Alaskans set about to survey the damage, care for the injured, provide homes for the homeless, bury the dead, clear away the wreckage, and rebuild what was lost. They needed help—but of such staggering magnitude that only the Federal Government could respond adequately.

Federal response was immediate. This is the story of that response and the many thousands of Federal people who worked behind the scenes and on the scene to make it possible.

President Johnson directed me, as the official responsible for Federal disaster assistance, to go to Alaska at once and to report back to him on what had happened and what Federal action was required. I made this trip on one of the Presidential jets in the company of the two Senators from Alaska, Senator Ernest Gruening and Senator "Bob" Bartlett.

Federal action in Alaska and in Washington, too, was direct and vigorous. I saw firsthand the capable and effective service rendered by career civil servants of all grades. I was impressed not only by the quality of the response and the efficiency of the work but also by the enthusiasm and the devotion to duty. No one shirked, and from the early days of the tragedy Alaskans gained a higher appreciation of the Federal employee.

Even before we reached Alaska, Creath Tooley, OEP Regional Director from Everett, Wash., had flown to

Anchorage and had set up a disaster office to coordinate and direct Federal assistance.

Within hours after the earthquake, Governor William Egan had asked President Johnson to declare Alaska a major disaster area. Saturday noon the President issued the declaration, putting into effect the Federal Disaster Act, Public Law 81–875, authorizing the Office of Emergency Planning to mobilize the vast resources of the Federal Government.

In the stricken cities aid came fast. Federal offices, as they have done in past disasters, rushed help under their own statutory authorities.

Alaska's personal income is derived largely from Government, with Federal agencies paying two-fifths of the total. There are approximately 35,000 members of the Armed Forces and 16,700 Federal civilian employees stationed there.

Federal employees pitched in to help the stricken communities in countless ways. Some served with civil defense units, others answered emergency calls for their skills, and still others attempted to reestablish the offices and functions in areas where help was most needed.

NO OTHER NATURAL disaster in history has brought such total response of Federal employees as that seen in Alaska. Injured and homeless people were fed and lodged through the efforts of the Red Cross assisted by the emergency services of the Federal installations in the stricken State. Troops and civil servants of the Alaskan Command under the leadership of Lt. Gen. Raymond J. Reeves were especially diligent in performing emergency land and air transportation, communications, feeding, and rescue and guard services, thereby writing a new and heroic chapter of service to the community in time of need. All Federal departments and agencies moved with speed and efficiency to restore vital services for which they were responsible.

DIRECTING RELIEF OPERATIONS—OEP Director McDermott (left) makes plans with (left to right) Alaskan Governor William Egan, Lt. Gen. Raymond J. Reeves, and U.S. Senators from Alaska, Ernest Gruening and "Bob" Bartlett.

The Weather Bureau station at Anchorage International Airport was put out of service by the earthquake. Employees there arranged for vital services to be picked up by the weather station at Fairbanks and by the National Meteorological Center at Suitland, Md. By 5:00 a.m. Monday, March 30, the Weather Bureau employees in Anchorage were again using their own facility to provide forecasts for domestic flights.

The Federal Aviation Agency lost no time returning to full effectiveness. The story of the FAA tower at the Anchorage International Airport illustrates this.

In October 1963, the FAA, as part of a larger exercise, simulated the collapse of the control tower, disruption of communications, and major damage to navigational aids. Under these simulated conditions, 30 hours were required for the simulated restoral of services. When the quake hit Anchorage on March 27, the control tower *did collapse,* killing one FAA air traffic controller, William Taylor. Because of the test experience, FAA moved quickly to set up an emergency operations center and restore facilities. Most services were restored within 12 hours. It is a tribute to the career service and to the FAA that in no instance did any FAA employee leave his post, and off-duty personnel reported to their emergency assignments within one-half hour after the earthquake, despite anxiety and uncertainty, in many cases, about the status of their families for 12 to 14 hours after the quake.

The Small Business Administration Branch Office Manager, Robert Baker, was on his way home from the office when the quake struck. He immediately returned to his office, though highly concerned about the welfare of his family, and attempted to recall his staff of 17. When lack of communications prevented this and his office almost collapsed about him, he raced home and found his house damaged, but livable, and his family uninjured. Shortly thereafter he was able to collect most of his staff and pitch into relief operations.

Clyde S. Courtnage, in charge of the Anchorage Field Office for the Department of Commerce, was on his way to Japan on a trade mission for Alaska. He immediately returned when notified of the quake and made himself available for emergency calls.

Post Office Department employees continued their operations and attempted to pick up and deliver mail where possible. The employees who operated the Post Office Amateur Communications Net, a standby emergency organization of postal employees licensed as ham operators, were for a number of hours one of the few links with the outside world.

Postmasters whose offices were destroyed or damaged went right back to work in temporary quarters and the mails never ceased to move.

I quote from Senator Bartlett's remarks in the Congressional Record of May 2: "Many Alaskans were im-

pressed with the devotion and quiet heroism of the Postal workers. Electric wire might be down and utilities destroyed, but the mail was delivered. The maintenance of efficient and reliable communications played an important part in Alaska's immediate recovery from the emergency."

Postmaster Schwamm of Anchorage said that Saturday morning after the earthquake all the carriers and clerks reported for duty and together started cleaning up the mess at the main office and terminal. Deliveries and collections were made. The sight of postal carriers moving along the damaged streets gave the people a new spark. Postal authorities learned later that much of the mail sent out during the first critical days arrived throughout the United States before telegrams sent at the same time.

Personnel of the Public Health Service responded to counteract the danger of epidemics. During the first week 25,000 typhoid inoculations were administered to the civilians of Alaska.

The General Services Administration staff immediately obtained emergency quarters for displaced Government offices, provided essential services such as supplying office equipment and automobiles, and screened its surplus property inventory for other emergency materials.

The staff of the Housing and Home Finance Agency arranged for temporary housing, conducted damage surveys for real estate, provided urban renewal services to damaged areas, and provided loan assistance to individual homeowners.

Employees of the Department of the Interior, which has extensive programs in Alaska, responded quickly. Alaska Railroad employees showed up at the station in Anchorage immediately after the quake. John Mamley, General Manager of the railroad, said the response from his employees was 100 percent. One conductor, civil servant Emil Elbe, died of a heart attack upon trying to outrun a tidal wave in the Seward area. Elbe saw the onrushing wave from his engine cab, and having no passengers at that time, he leaped down and scrambled for higher ground. He successfully evaded the mountain of water but collapsed and died in the effort. Emergency restoration of the railroad between Whittier and Anchorage was completed by April 20.

Interior's Bureau of Indian Affairs, in conjunction with the Red Cross, arranged for the care and relocation of displaced native Indians. The Bureau of Land Management maintained the Eklunta Electric Power project in operation despite extensive damage and flew 178 missions in three weeks following the quake, carrying 477 passengers and 300,000 pounds of materials at the request of State civil defense. Geological Survey provided technical assistance for geological studies, and the Bureau of Sport Fisheries and Wildlife provided emergency airlift of personnel and supplies.

SEWARD—hit by earthquake, tidal wave, and fires. Mayor Perry Stockton recounted, ". . . after the earthquake a tidal wave raised in the bay and came crashing toward the city. The crest of the wave carried a solid wall of burning petroleum products. This 37-foot-high wave thundered into the area at the head of the bay, occupied by the city of Seward and its surrounding communities and the airport. . . . There were repeated lesser waves up to 11 o'clock that night. Meanwhile, the fires were still burning . . ."

KODIAK—an island hit by earthquake and tidal waves. The entire land mass sank 5½ feet closer to sea level. Pictured above is a portion of the waterfront in the town of Kodiak, showing grim evidence that Alaska's largest king-crab fishing center was all but wiped out. Half the fishing fleet was swept away or battered and two of the three canneries were destroyed by a succession of more than a dozen tidal waves. South of here, on the same island, *was* a fishing village known as Kaguyak, population 41. Because the townspeople had long heard the admonition of a local legend—"watch out for the third wave"—they headed for the hills when the earthquake struck and clung to the slopes until the third wave finally swept in and out, taking with it their entire village. All survived except for three men who dashed back for supplies between the second and third waves. Kaguyak's fate was repeated many times in a number of small villages along the Gulf of Alaska. (*OEP photos*)

The Army and Air Force, the military and civilian employees, won the friendship of every Alaskan in the first dark days, performing every service for the victims up to and including babysitting.

ON ANOTHER FRONT, the Federal financial agencies, the Federal Home Loan Bank Board, the Federal Reserve System, Treasury Department's Office of the Controller of the Currency, and the Federal Deposit Insurance Corporation, took steps to assure availability of credit and funds for the Alaskan people.

The above by no means includes all of the substantial assistance provided by employees of these and other agencies. They merely are representative of the magnitude of the response.

With the Federal machinery in full operation, the following recovery actions were taken:

(1) OEP assigned specific missions to individual Federal agencies consistent with their day-to-day responsibilities. The Corps of Engineers, as has been the case in other disasters, was requested to act as civil engineer for OEP in the clearance of debris, emergency restoration of public utilities, the rebuilding of docks and related matters in most damaged areas, with the Navy's Bureau of Yards and Docks doing the job in Kodiak. The Federal Aviation Agency was requested to plan the repair of the airports. The Housing and Home Finance Agency was asked to develop plans for meeting emergency housing needs. Other agencies received comparable directives.

(2) Contracts were awarded for the clearance of debris and for other emergency work as soon as possible. These contracts now total about $6 million.

(3) An immediate allocation of $5 million in Federal disaster funds was made to Governor Egan for the State of Alaska. Through quick action by the Treasury Department, our representative in Alaska was able to turn over a check for this amount to the Governor the day after the allocation. Since then, a second allocation of $12 million has been announced by the President.

(4) The President transmitted to the Congress, and both Houses approved on the same day, a supplemental appropriation of $50 million for the disaster fund. This amount is available for disasters which might occur in any of the States, but the bulk of it is likely to be used in Alaska.

(5) The President issued Executive Order 11150, establishing the Federal Reconstruction and Development Planning Commission for Alaska.

The earthquake differed substantially from any other disaster, even the major ones of previous years.

First of all, it differed in scope and magnitude. The total amount of disaster relief funds made available from the President's disaster fund might reach $80 million, in contrast to the previous high of $40 million expended for disaster relief following the Northeast hurricanes and floods of 1955.

The impact on the economy of Alaska and on particular cities of Alaska was devastating. Considering the magnitude of damage now estimated at between $750–$850 million, the casualties were relatively light, with 82 dead and 33 missing. The destruction of industry, business, transportation, and communications centers portends a huge reconstruction effort for years to come.

Alaska was still in transition. The Alaskan Omnibus Act of 1959 provided transitional grants to assist the new State in carrying on its governmental processes. These grants, scheduled to end on June 30, 1964, had totaled $28.5 million during the period of the bill.

The fourth major difference was the type and variety of the damage involved. In Anchorage, for example, there was major damage due to the shaking of the earth, to the fissures which developed, and to the sliding of land from Turnagain Arm into Cook Inlet. In Valdez and Seward, on the other hand, major damage was due to tremors, fires, and tidal waves. In Kodiak, most of the damage was done by huge waves. The Island of Kodiak, and particularly the city of Kodiak, sank about 5½ feet; the city of Valdez dropped about the same number of feet; while the whole land mass at Cordova rose about 6 feet.

But the uniqueness and immensity of the Alaskan tragedy in no way hindered immediate help under our present authorities. Under the Federal Disaster Act, Federal funds supplement State and local efforts in major disasters which have been declared by the President at the request of the Governor. In Alaska, funds were made available for such specific items as the rebuilding of roads and bridges, the construction of public docks, the demolition of unsafe buildings, and the emergency repair or rebuilding of schools.

THE REAL STORY of the Alaskan disaster and its aftermath cannot be told with dollar signs. It is a story of a courageous people working to rebuild America's "last frontier"—courageous in the face of sweeping danger and courageous in its tragic wake. It is a story, too, that bespeaks the competence and devotion of the public servant who stuck to his post, and who worked tirelessly to minimize the tragedy and restore vital services as quickly as possible.

We are reminded that behind the stone and mortar facade of bureaucracy is a quality service of men and women who give our Nation stability and strength—whatever their calling and wherever they may be asked to serve their fellow man.

Employment Focus

1963 METROPOLITAN AREA SURVEY

At the beginning of this year, the Civil Service Commission surveyed Federal employment in all the Standard Metropolitan Statistical Areas, as defined by the Bureau of the Budget, as well as employment in each of the States. Changes made in the list of standard metropolitan statistical areas in October 1963 gave metropolitan classification to areas which had a population of 2.9 million persons in 1960. This increase brought the 1960 population of these areas to 115.8 million, or nearly two-thirds of the population of the United States. Each area comprises a central city of 50,000 or more population and contiguous counties which meet certain criteria of economic integration and metropolitan characteristics. There are 216 such areas in the United States.

A total of 1,796,231 Federal employees, or 77 percent of all stationed in this country, worked in metropolitan areas.

Relatively more of the employees in white-collar jobs worked in these cities; 81 percent of all employees paid at General Schedule rates were in the cities, while only 74 percent of the blue-collar workers and 73 percent of the postal workers were there. About 48 percent of all employees in cities were under the General Schedule of the Classification Act, 23 percent were under wage boards, 24 percent were under the Postal Field Service Schedule, and 5 percent were paid at rates determined in other ways.

The number of such cities with more than 10,000 Federal employees had increased from 38 in 1960 to 44 at the beginning of 1964. Some of these increases were caused by the inclusion of existing Federal installations within the new boundaries of the areas.

NINE AREAS EMPLOY MORE THAN 30,000

The Nation's Capital was the largest concentration of Federal employment, with 263,185 working there. Most Federal agencies have their headquarters offices

FEDERAL EMPLOYMENT IN METROPOLITAN AREAS—DEC. 31, 1963

(Showing Standard Metropolitan Statistical Areas That Employ More Than 5,000 Federal Workers)

Albany–Schenectady–Troy, N.Y.	10,018	Miami, Fla.	8,156
Albuquerque, N. Mex.	8,676	Milwaukee, Wis.	8,650
Atlanta, Ga.	20,525	Minneapolis–St. Paul, Minn.	16,680
Bakersfield, Calif.	9,251	Mobile, Ala.	15,493
Baltimore, Md.	29,107	Nashville, Tenn.	5,159
Birmingham, Ala.	5,948	New Orleans, La.	12,437
Boston, Mass.	44,119	New York, N.Y.	130,619
Buffalo, N.Y.	8,313	Newark, N.J.	18,641
Charleston, S.C.	11,634	Newport News–Hampton, Va.	13,364
Chicago, Ill.	69,391	Norfolk–Portsmouth, Va.	30,985
Cincinnati, Ohio–Ky.–Ind.	12,026	Oklahoma City, Okla.	27,725
Cleveland, Ohio	20,595	Omaha, Nebr.–Iowa	7,248
Colorado Springs, Colo.	5,256	Pensacola, Fla.	6,810
Columbus, Ohio	10,822	Philadelphia, Pa.–N.J.	73,594
Dallas, Tex.	12,435	Phoenix, Ariz.	8,125
Davenport–Rock Island–Moline, Iowa–Ill.	7,430	Pittsburgh, Pa.	16,950
Dayton, Ohio	26,218	Portland, Oreg.–Wash.	12,492
Denver, Colo.	21,798	Providence–Pawtucket, R.I.–Mass.	12,004
Detroit, Mich.	26,243	Richmond, Va.	7,584
El Paso, Tex.	5,625	Sacramento, Calif.	21,632
Fort Worth, Tex.	7,214	St. Louis, Mo.–Ill.	29,108
Harrisburg, Pa.	18,890	Salt Lake City, Utah	16,975
Honolulu, Hawaii	21,617	San Antonio, Tex.	32,154
Houston, Tex.	11,651	San Bernardino–Riverside–Ontario, Calif.	18,785
Huntsville, Ala.	16,984	San Diego, Calif.	23,151
Indianapolis, Ind.	15,337	San Francisco–Oakland, Calif.	62,977
Jacksonville, Fla.	9,661	San Jose, Calif.	8,230
Kansas City, Mo.–Kans.	17,970	Seattle, Wash.	14,262
Knoxville, Tenn.	5,817	Springfield–Chicopee–Holyoke, Mass.–Conn.	7,391
Little Rock–North Little Rock, Ark.	5,196	Tacoma, Wash.	5,967
Los Angeles–Long Beach, Calif.	55,807	Tampa–St. Petersburg, Fla.	5,226
Louisville, Ky.–Ind.	8,069	Utica–Rome, N.Y.	8,689
Macon, Ga.	16,721	Vallejo–Napa, Calif.	12,796
Memphis, Tenn.–Ark.	10,411	Washington, D.C.–Md.–Va.	263,185

there. Three agencies maintain small contact offices there while their headquarters offices are located elsewhere: the Railroad Retirement Board in Chicago, the Tennessee Valley Authority in Knoxville, and the Panama Canal Company in the Canal Zone. The latter office also serves as the Canal Zone Government's contact in Washington although its employees all work for the Company. The Canal Zone Government, the St. Lawrence Seaway Development Corporation, and the Virgin Islands Corporation are the only Federal agencies which have no employees in the Washington area.

New York, N.Y., was second in size of Federal work force. A total of 130,619 persons were employed by 41 Federal agencies in that area. The largest agency total was 62,327 employees reported by the Post Office Department. The military departments, the Veterans Administration, and the Treasury Department also were large employers there.

The Philadelphia metropolitan area was third in size with 73,594 employees reported by 34 agencies. The largest employer there was the Navy Department which reported 20,288 workers. Other large employers were the Post Office Department, the other military departments, the Veterans Administration, and the Treasury Department.

Chicago was next in size. Thirty-eight Federal agencies reported 69,391 employees. The Post Office Department employed 31,178 persons; other large employers were the military departments, the Veterans Administration, and the Treasury Department.

San Francisco included 62,977 Federal employees on the rolls of 38 agencies. The Navy Department was the largest employer with 26,466 workers. Other large employers were the Post Office Department, the Department of the Army, and the Veterans Administration.

Employment in the Los Angeles metropolitan area totaled 55,807 workers reported by 36 Federal agencies. This area is smaller than in earlier years because Orange County, which was formerly included here, is now large enough to be classified as a separate area (the new Anaheim-Santa Ana-Garden Grove area). The largest employer was the Post Office Department with 22,433 workers. Other large employers were the Veterans Administration and the military departments.

Federal agencies in the Boston area reported 44,119 employees. Thirty-seven agencies were represented there; the largest was the Post Office Department with 14,399 employees. Sizable numbers were also reported by the Veterans Administration and the military departments.

San Antonio included 32,154 employees reported by 25 agencies, but only the Air Force with 25,049 and the Army with 3,878 were sizable employers. In the Norfolk-Portsmouth area, 21 agencies reported 30,985 employees, but the Navy Department with 26,972 employees was the only large employer.

—Flora M. Nicholson

THE MANAGEMENT OF PEOPLE

There has been no scarcity of literature on the subject of management in the past several years. Most of it, typically, has been concerned with such ideas as "span of control," "unity of command," and "delegation of authority." However, a new theme has appeared, centering around the *human elements* of management, motivation, productivity, and new patterns of organization and leadership.

This is hardly surprising when one considers how much research along the lines of this new theme is being conducted today at Yale, Michigan, Ohio State, Carnegie Tech, M.I.T., Berkeley, and Cornell, to name only a few of the centers that are earnestly studying in depth the human impact on organization and management.

Shelf-Help singles out some of the more significant texts which treat of this new interest in the human factor.

* * *

For nearly a decade, Chris Argyris, Professor, Department of Industrial Administration, Yale University, has been conducting intensive research into the interrelation of the individual and the organization. His *Personality and Organization* (Harper & Bros., 1957), began a veritable parade of his books, including *Interpersonal Competence and Organizational Effectiveness,* and concluding with his latest, *Integrating the Individual and the Organization.* These probably represent the most complete coverage the subject has been given by any one author. In his latest volumes he updates his thinking about the conflict between system and the individual in a most reasonable and persuasive way that merits careful study and application.

The Managerial Grid challenges the dichotomy of the autocratic v. the democratic leadership and in its stead proposes a continuum of management types. Blake and Mouton of the University of Texas have devised a grid that equates "concern for people" with "concern for production," ranging in each case from "low" (1) to "high" (9). "Low" on each scale represents a "management type" whose exertion of minimum effort to do required work is barely sufficient to sustain organization membership—least effective of the 81 identified types of leadership. On the other hand, "high" on each scale represents the ideal where work accomplishment is from committed people and interdependence through a common stake in organization purpose leads to relationships of trust and respect. *The Managerial Grid* is truly an

Interpersonal Competence and Organizational Effectiveness. Chris Argyris. Dorsey Press, Inc., Homewood, Illinois, 1962. 290 pp.

Integrating the Individual and the Organization. Chris Argyris. John Wiley & Sons, Inc., New York, 1964. 330 pp.

The Managerial Grid. Robert R. Blake and Jane S. Mouton. Gulf Publishing Co., Houston, Texas, 1964. 340 pp.

Management, Organization and Planning. Donald M. Bowman and Francis M. Fillerup. McGraw-Hill Book Co., Inc., New York, 1963. 148 pp.

Motivation and Productivity. Saul W. Gellerman. American Management Association, Inc., New York, 1963. 304 pp.

Psychology in Management, 2d Edition. Mason Haire. McGraw-Hill Book Co., Inc., New York, 1964. 238 pp.

Human Elements of Administration. Harry K. Knudson, Jr. Holt, Rinehart & Winston, Inc., New York, 1963. 490 pp.

Automation and Industrial Relations. Edward Shils. Holt, Rinehart & Winston, Inc., New York, 1963. 360 pp.

intriguing concept worth weighing against any management situation.

Bowman and Fillerup in their *Management, Organization and Planning* select from the lectures given at U.C.L.A.'s first executive profile lecture series. The collection ranges from Philosophy of Organization, Organization Structure and the New Decision-Making Technology to the Rationale of Planning and Putting Plans into Action.

All the lectures are by eminently qualified authorities in the management field.

Gellerman of the American Management Association identifies three main purposes for his book, *Motivation and Productivity:* to draw together the most significant achievements in the study of work motivation; to present a theory that puts most of this research into perspective; and to show the practical implications of the research and theory for management policy. Gellerman accomplishes this in a very readable and rewarding way.

Mason Haire of the University of California at Berkeley, in his second edition of *Psychology in Management,* emphatically points out that this is not a "how to do it" book but rather an overview of psychological problems in management. Between the two editions, considerable research took place—much of which is reflected in Haire's later book. He has carefully chosen his cited evidence of progress in this research. The book is aimed at the practicing manager whom the author urges to pose questions while reading, and to decide if the things he illustrates happen in the reader's work situation.

In *Human Elements of Administration,* Knudson of the University of Washington offers a wealth of cases, readings, and simulation exercises that provide a storehouse of material for the development of managers. Through a careful study of the theoretical concepts and an analysis of case situations, the manager has a basis for evaluating and developing his own philosophy of management. The book's cases are presented in such a way as to facilitate their adaptation to management training programs. For this purpose, the author has provided a helpful instructor's manual.

Today's alert manager had better not ignore the possible impact of the computer upon his job and his responsibilities. Edward B. Shils of the Wharton School of the University of Pennsylvania has collected and presented in *Automation and Industrial Relations* much of the impact the new technology has had upon our economy and upon human relations. With complete objectivity he raises many questions, the answers to which are open to speculation. Today's manager will do well to ponder these questions in relation to his own situation.

—Franklin G. Connor

ESCALATION—

(continued from page 9.)

main effort must be to become a member of the management team because as an outsider he is not going to accomplish his own basic mission.

All that I have been saying adds up to one clear conclusion. Since it is the manager who is responsible if unwarranted grade escalation occurs, we must find ways of making him aware of his responsibility and holding him strictly accountable when we find that he is not really doing his job. In a very real sense, personnel management is fundamentally the responsibility of the manager, rather than the director of personnel. In carrying out this function, the personnel director and the classifier are responsible for assisting the manager, actively and affirmatively, in the exercise of *his* responsibility.

This, more and more, is what the Civil Service Commission is seeking to do in its reviews of personnel management in agencies. We are more concerned with how the manager organizes the work and uses position classification and the expertise of the position classifier in the process than we are in looking at individual jobs in the abstract. This is an important part of our total review of how the manager plans for, gets, develops, and uses people to accomplish his mission within the requirements of public policy.

The best way we can respond to the President's insistence on efficient and economical management is to make sure that those who are responsible act responsibly in their management roles.

QUOTABLE:

THE SPIRIT OF VOLUNTARISM

—from an address by Sargent Shriver, Director of the Peace Corps, at the National Civil Service League Awards banquet, April 14, 1964, Washington, D.C.

THE HARDEST TEST for the Civil Service, and for all of us, comes not when we are on the defensive—when we are under fire. It comes when it is time to move ahead—when we are called upon to take new action, to do new things, to be creative.

I did not know Washington during the first hundred days of Franklin Roosevelt, but I was fortunate to be here during 32 months of John Kennedy, and to be here these first months of Lyndon Johnson. And I have seen how the Civil Service is ready to rise to the occasion of these creative periods.

In my own work, I saw how newcomers from the professions and the universities, from labor and business, were welcomed by the oldtimers of the Civil Service—how they were accepted without resentment or resistance. I am speaking for myself and for many of the people from the worlds outside Government whom I helped to find and bring to Washington for President Kennedy in those first months of the so-called "talent hunt." I can say that those of us who joined the Government appreciated your welcome and your response. We saw that the hunt can begin at home—that the Civil Service is a great fund of good talent. . . .

In the organization of the Peace Corps and now of the poverty program, I have also seen the voluntary principle—the volunteer principle—in action. I have seen it not just in Volunteers working overseas but in civil servants working overtime. I have seen it in lights *on* at night, in offices full of people dedicated to getting a job done, ready to work nights and give up weekends. I have seen it in the willingness to work together, to share ideas, to create something that is a joint product—a willingness shown in the Peace Corps and in the poverty program by men and women from practically every major agency or department in our Government. What I have seen bears no resemblance to the prototype of the civil servants the critics like to portray. . . .

But, seriously, what I have seen convinces me that the Civil Service is a great and vital part of something even greater, the wider Public Service which includes all parts and professions of our Nation serving the common good. And I am convinced that the volunteer spirit is an essential element in this general Public Service—that it is now, as it was when de Toqueville studied us over a century ago, the secret of American success.

THE VOLUNTEER SPIRIT IN ACTION.—Peace Corps worker Michael L. Peters, of Grundy Center, Iowa, shows a group of Venezuelan youngsters how to graft a tree. (*Peace Corps photo*)

These are two big points for us to keep in mind:

First, the need for a good relationship between Government service and this wider Public Service that includes the professions and the universities and other private institutions; and, second, the need for volunteers and the voluntary principle.

THE RELATIONSHIPS between government servants—the Civil Service proper—and the general Public Service becomes more complex and more important all the time. From our Peace Corps experience, we can throw light on only a part of this larger problem. We are making progress in developing a good working relationship with universities and private agencies—in developing ways of increasing the contribution to the Public Service of American higher education. . . .

Last month, the President announced that we have produced the world's fastest operational fighter plane, capable of flying across the country in less than 2 hours. This is a great achievement.

But last month as well, nearly 6,000 Americans applied to join the Peace Corps, more than in any other month since we took in our first Volunteer. Since 1961, nearly 100,000 Americans have applied for Peace Corps service. This, too, is a great achievement, for it is evidence of the growing spirit of Public Service.

Further encouraging evidence was given me today in the report of a sample of 230 returned Volunteers who were asked if they would be interested in working in the war on poverty. Four out of five said they were interested. Thirty-nine percent said they were "extremely interested," and another 43 percent were "interested." Nearly one-third said they would be ready to work as volunteers in the poverty program in the eve-

nings or weekends on a nonsalary basis. When asked their reasons for wanting to do this, the most common answer was that they welcomed the opportunity to serve again—this time in their own country.

These are men and women who have served overseas for 2 years, who have been through all the frustrations of Public Service—all the difficulties of being Volunteers. They are ready for more.

There is some other good news in this line.

Of the first 545 Volunteers to complete their service, over three-quarters replied that they feel they have made a real contribution through their service, and they are moderately or very well satisfied with their experience. Seventy percent say that, knowing what they now know, if they had it to do all over again, they would volunteer.

ALL THIS SUGGESTS that the mood of America is changing, that out of our affluent society is emerging something more than swimming pools and air conditioners and bigger and better tailfins. What is emerging is this spirit of Public Service—a spirit reflected in the words of David Crozier, a Peace Corps Volunteer. He wrote home in a letter to his parents, "Should it come to it, I had rather give my life trying to help someone than to have to give my life looking down a gun barrel at them." A short time after those words were written, David Crozier was killed in an airplane crash in Colombia at the age of twenty-two. David Crozier is one of a long line of men who have given themselves in the service of others.

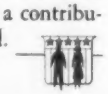
It is this same spirit which must rally behind the war on poverty. For this war cannot be won simply by spending dollars. It must be won by people.

It must be won, first, by the poor people themselves, acting with new hope, catching some of this spirit. The poor must be active agents in the war on poverty, not just bystanders.

Second, it must be won by community volunteers. Theirs is the responsibility to help mobilize the local resources of the community—to prepare and carry out effective community action programs.

And, third, it must be won by national volunteers—Volunteers for America—who are willing to locate wherever their skills are needed and requested, who are ready to serve their country here at home just as Peace Corps Volunteers have served abroad. They will serve in community action programs, teach in deprived schools, assist in the training of the jobless, work in mental hospitals and in mental retardation programs, in migrant labor camps and on Indian reservations.

If Congress establishes this program, I am convinced that Volunteers for America can make as big a contribution at home as that of the Peace Corps abroad.



TRAINING DIGEST

NEEDS OF THE EXECUTIVE STUDENT

"Adults will not remain content to study with 20-year-old college students, nor will they be satisfied with Ph. D.-candidate instructors," said John W. Macy, Jr., Chairman, Civil Service Commission, in a recent speech to the National University Extension Association. "Grades, degrees, course sequences, and prerequisites of the usual curriculum may have little appeal to those with a background of several years of responsible Government assignments. Increasingly, they will seek out institutions that offer challenging programs for mature men and women."

Mr. Macy said that "universities can contribute significantly by providing academic programs responsive to the needs of Government employees. This may require that faculty members reshape their material to meet the needs and available time schedule of the executive student." He added that they may need to adjust current restrictions on admission to courses "by accepting appropriate work experience in lieu of classroom training or course credits for admission to advanced study."

FACULTY MEMBERS IN ONE-YEAR TOURS

Many agency personnel officials are apparently unaware of the authority granted in 1962 for employment of college faculty members, a recent Commission survey disclosed. FPM 316–11 states that "agencies are delegated authority to make temporary limited appointments without examination to utilize the temporary services of bona fide members of the faculty of an accredited college or university in positions of a scientific, professional, analytical, employee development, or instructional nature." Appointments of this type may be made for periods up to 1 year.

The regulations require that faculty members appointed under this authority shall have backgrounds which give positive evidence that they have the skills, knowledges, and abilities needed for successful performance of the duties of the position to which they are appointed.

The Civil Service Commission, by appointing five faculty members to employee development officer positions, is the agency that has made the most extensive use of the authority in the instructional area. Other agencies have made a total of 23 appointments, 17 of which were to scientific and engineering positions.

Federal officials who expect to make use of this new authority will find that they must plan months ahead. The more competent faculty members commonly decide

well in advance how they will use their sabbaticals, summers, or leaves of absence.

TRAINING NOTES

Correspondence education will be studied by the American Council on Education and the National Commission on Accrediting, the Carnegie Corporation of New York announced recently. Pennsylvania State University's College of Business Administration will analyze this field of instruction and will make suggestions on directions that this type of education might take in the future.

Employee development officers are eligible to attend a new course offered by the Commission: "Implications of ADP for Training Directors; An Appreciation." The course, which will be given August 24–26 in Washington, D.C., is designed to assist trainers in solving problems posed by the introduction of automatic data processing systems into their agencies.

Colgate-Washington Study Groups director, Paul S. Jacobsen, received from the Chairman, Civil Service Commission, a certificate of special recognition. Dr. Jacobsen, who is retiring this year, was commended for originating and guiding the development of a program in which Colgate seniors spend a semester in Washington interviewing Federal officials while they study Government.

A scientist-in-residence program is now well established at the U.S. Radiological Defense Laboratory, San Francisco, reports its personnel officer. This year they have scientists serving as resources for staff development from the Institute of Naval Studies, Cambridge; the Medical Biological Laboratory Defense Organization, Ryswyk, Netherlands; and the Clinical Research Department, Royal Marsden Hospital, London.

A Washington training center for joint use of several Federal agencies is under consideration by the General Services Administration. A quick survey reveals a severe shortage of classroom space.

CHART, Clearing House for Augmenting Resources for Training, was recently set up by the Department of Defense to increase the productivity of training activities. The initial effort is aimed at improving instructional technology in programed instruction. In the future, CHART will circulate to all Defense agencies information on techniques, devices, aids, material, research findings, and training operations. Scheduled for early study are TV instruction, training films, and simulators.

Manpower development programs of the Department of Labor and the Department of Commerce (area redevelopment program) are a source of potential recruits for the Federal service, the Commission recently pointed out to personnel directors. Retrained persons will be made aware of competitive examinations through which they may obtain Federal employment.

—Ross Pollock

A MOST HONORED PROFESSION

PRIOR TO THE Government Employees Training Act of 1958, much of the training of Federal workers was without clear legal authority. The act revolutionized Federal training.

A new profession emerged within Government, and already it has become a most honored one.

Elizabeth F. Messer, well known in training circles, recently won the Federal Woman's Award, in part for her outstanding contributions to Government training. Many others have brought high credit to Federal training by being singled out for recognition and honors. Typical of these are the five recent winners of the Distinguished Service Awards for Excellence in Training, given each year by the Training Officers Conference. The winners epitomize the sole purpose of employee training—better utilization of human resources in carrying out agency missions.

FRANKLIN G. CONNOR, Program Director, Office of Career Development, U.S. Civil Service Commission, pioneered management intern programs for entry-level and mid-career employees throughout Government, as well as training programs for personnel officers and other interagency training courses.

JULIUS E. EITINGTON, Training Officer, National Park Service, Interior, has been responsible for executive development in the Park Service which has resulted in improved management and stimulation of future managers to self-development.

JERROLD M. MICHAEL, Chief, Office of Special Staff Services, Division of Indian Health, Public Health Service, HEW, established the Medical Self-Help Training Program of PHS and "Operation Impact," a continuing program for management improvement.

FRANCIS J. MULHERN, Director, Animal Disease Eradication Division, Agricultural Research Service, Agriculture, has been unusually effective as a line manager in the development of his 2,600 employees, mostly professional, in 50 States.

CHARLES A. ULLMANN, Director, GSA Institute Division, Office of Manpower and Administration, GSA, has established and energetically directed, in six regional cities, GSA Institutes, which are strengthening the business management of GSA and the Government.

STANDARDS and TESTS

NEW E-M STANDARDS

New classification standards for the Employee-Management Relations and Cooperation Series, GS–230, were distributed in April. These standards for the first time provide criteria for classifying jobs responsible for employee-management cooperation activities authorized by Executive Order 10988. In addition, separate classification criteria are provided for classifying jobs with responsibility for the more traditional employee relations concerns—grievances, appeals, motivation, communications, individual relationships between supervisors and employees, etc. The two categories of jobs—employee-management cooperation and employee relations—have been distinguished by the establishment of separate specializations.

The new standards are significant in that they represent an effort to anticipate the need for classification guides in the still-emerging field of employee-management cooperation in the Federal service. As such, classification criteria for this specialization are not as comprehensive as those usually provided for more established fields of work, and will be reviewed from time to time to determine whether revisions are necessary.

However, responses to the tentative draft indicate that most agencies agree that the four factors—organizational environment; nature, scope, and impact of issues; participation in determining management's position in dealing with employee organizations; and authority to speak for management—represent a valid approach to the evaluation of these positions.

Some changes in series coverage are reflected in the new standards. For example, certain jobs with responsibility for incentive awards programs—and others responsible for the planning and administration of employee benefits and service programs—are now included in the Employee-Management Relations and Cooperation Series. With the publication of the revised definition for employee-management relations work, the Employee Services Administration Series, GS–231, was abolished.

Qualification standards for the Personnel Officer-Personnel Specialist, GS–200 Group, to be published in the near future, will also apply to positions in the Employee-Management Relations and Cooperation Series.

PROGRESS REPORT

The following classification standards were printed for December through April distribution. Single-agency standards, marked below with an asterisk, were distributed selectively.

- Civil Service Retirement Claims Examiner*
- Employee Relations and Employee-Management Cooperation Specialist
- Food and Drug Inspector*
- Guide for Appraisal of Scientific Positions Proposed for GS–16, 17, and 18
- Labor Management Relations Examiner*
- Office Draftsman
- Teletypist

The following qualification standards were printed for November through May distribution. The ones marked with an asterisk are single-agency standards and were distributed selectively. The others appear in Handbook X–118, Qualification Standards for Classification Act positions.

- Air Traffic Control Specialist
- Cartographer
- Civil Service Retirement Claims Examiner*
- Food and Drug Inspector*
- Food and Drug Officer*
- Insurance Examiner
- Labor Management Relations Examiner*
- Office Draftsman
- Orthotist and Prosthetist
- Patent Technician*
- Photographer
- Physical Medicine and Rehabilitation Coordinator*
- Tax Technician*
- Technical Supply Positions (in the Supply Group)
- Veterinary Medical Officer (Laboratory Animal Medicine)*

Wage Board Positions

- Electronics Mechanic
- Helper
- General Standard
- Inspector
- Instructor
- Production Facilitation Positions
- Supervisory Positions

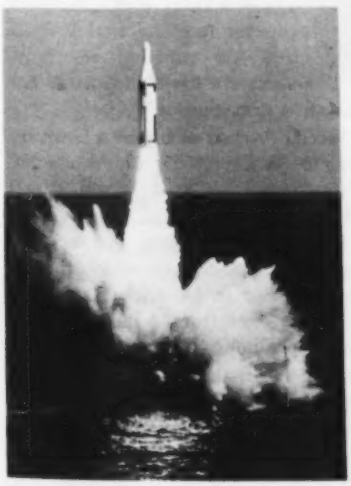
CIVIL SERVANTS IN POLARIS

by JOSEPH E. OGLESBY
Public Information Office
U.S. Civil Service Commission

THREE GENERATIONS OF POLARIS—From left, A–1, range 1200 nautical miles; A–2, 1500 miles; A–3, 2500 miles. Poles in A–1 and A–2 photos are part of range instrumentation.

IMAGINE YOURSELF standing on the deck of the Ambrose lightship off New York harbor, where pilots board ocean liners to take them into port. In the international waters 5 miles to seaward a nuclear-powered submarine steals into the area completely undetected, whether it is high noon or the dark of night.

From its submerged station, in about the time it takes to read one page of the *Journal*, the submarine launches its cargo of 16 nuclear-tipped missiles—each at a separate target rather than a multi-missile attack on fewer targets.

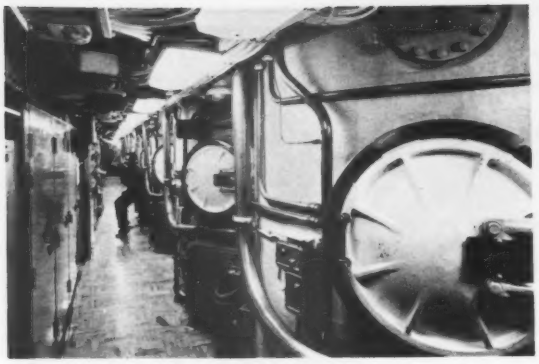


Devastated without warning are: Atlanta, New Orleans, Birmingham, Dallas, St. Louis, Kansas City, Cincinnati, Omaha, Chicago, Minneapolis, Detroit, Cleveland, Boston, New York, Philadelphia, and Washington, D.C.

This, horrifyingly, illustrates the capability of American submarines equipped with the Polaris A–1 missile, a "first generation bird" that has been operational at sea since November 15, 1960. It has an effective range of 1,200 nautical (1,380 land) miles.

If the missile should instead be the second generation Polaris A–2, range 1,500 nautical miles and first deployed June 26, 1962, the target area would be expanded to include Houston, Denver, and San Antonio.

And if the weapon should be the 2,500-nautical-mile Polaris A–3, which goes to sea this year, the target area would include Seattle, Portland,



LONELY CREWMAN stands watch in missile compartment of *USS Ethan Allen,* sixth Polaris submarine to go on operational patrol and first to launch a live nuclear warhead.

FULFILLMENT—Admiral Raborn, center, in control room of *USS George Washington,* beams his pride after two successful Polaris launches in July 1960.

San Francisco, Los Angeles, and the Panama Canal Zone.

To date, five submarines have been deployed with 16 A–1's each, and 10 with 16 A–2's. As each of the first five submarines completes its prescribed tour at sea, it will be refitted to handle the Polaris A–3.

By 1967, 41 Polaris submarines will be operational, 13 carrying 16 A–2's and the rest carrying 16 A–3's each.

How reliable is Polaris? On all operating patrols to date, 15 of the 16 missiles in each submarine have been launch-ready more than 99 percent of the time, and 16 of 16 have been ready more than 97 percent of the time.

It was this kind of knowledge that led President John F. Kennedy, in his televised assessment of the Cuban crisis on December 17, 1962, to say:

". . . I don't think there is a danger that we would fire based on incomplete and inaccurate information, because we were only given 5 or 6 minutes to make a judgment. I think the Polaris alone permits us to wait, to make sure that we are going to have sufficient [retaliatory strength] in hand that he knows that we could destroy the Soviet Union."

Career civil servants have been first-team participants in the Navy's Polaris program, and they have been parties to two of the most notable achievements of our times.

Working with military counterparts in the Navy, with scientists and managers in other agencies of Government, and with defense contractors, they have contributed to:

(1) Creation in record time of a submarine-launched missile system that closed the missile gap and gave the Nation its primary deterrent to war.

(2) Introduction and use of a space-age management concept called PERT that has revolutionized the art of R&D management and has been adopted widely by other agencies of Government and private industry.

The need for Polaris became acute in the mid-fifties, when Americans became aware of an impending missile gap.

In September 1955 President Eisenhower approved a National Security Council recommendation to develop a 1,500-mile ballistic missile system. Both land basing and sea basing were to be considered.

Army and Navy scientists began working on Jupiter, a liquid-fueled missile, but it soon became apparent that liquid rocket fuels could not be handled safely at sea, either on surface ships or submarines. Also, the proposed size of the Jupiter was too large for sea-based use.

Breakthroughs in solid rocket fuel, warhead design, and other technical areas such as submarine design, navigation, guidance, and fire control made a Polaris type missile appear feasible for launching from a submarine.

When the Secretary of Defense gave Navy the "go" sign, Army and Navy parted company on missile development, Army to continue work on the liquid-fueled Jupiter for land use and Navy to develop Polaris.

Navy created a Special Project Office on December 5, 1955, and named as its director Rear Admiral William F. Raborn, a red-headed, free-swinging, personable Texan who was to demonstrate a most remarkable feat of scientific and production management.

Headquarters of Special Projects would be a borrowed third floor walk-up in Washington's old Munitions Building, hastily thrown together as a World War I "temporary" but still standing today.

Supplementing "Red" Raborn's charm and technical know-how, there was still another asset which the admiral kept carefully concealed in his pocket—the now famous "hunting license" letter from Admiral Arleigh Burke, Chief of Naval Operations.

Keyed to the fact that Polaris had been given highest national priority, the letter authorized Admiral Raborn to get whatever people and whatever cooperation he required from any or all of the Navy's bureaus and offices.

Admiral Burke admonished him that if the letter ever

had to be used to force cooperation, the project would fail.

Recruiting a staff was the first problem the admiral had to face, and he had Ed Mernone—a first-rate civil service management expert—on hand from the beginning to help line up the best Federal careerists available. In fact, it was Mernone who ferreted out the office space, which is no mean feat in Washington.

Admiral Raborn's philosophy from the start was: "I can get a lot more work out of one overworked man than I can out of two who aren't overloaded."

The objective was to conceive, design, build, and get into service as quickly as possible a submarine-launched missile system that would be efficient, reliable, and deadly.

Among the questions to be answered before production could begin were: How big a missile? What shape? What warhead? How about a launch mechanism? A guidance package?

What kind of submarine? How about 24-hour-a-day communications with the submarine, wherever it may be, on or under the ocean's surface? How about fire control? Support facilities? Crew training? Builders?

CHANGE OF COMMAND—Rear Admiral Ignatius J. Galantin, right, relieves Vice Admiral William F. Raborn, Jr., as Director, Special Projects Office, on February 26, 1962. Between them, from left, Thomas W. Aiken, George Bergquist, Capt. James C. Wooton.

Must we build on the present state of the art, or should we anticipate progress that might be made as we go along?

How, what, when, where . . . *how soon?*

TO ANSWER these questions, and to get a product—fast—the Navy made a major departure in the management of a large R&D program. Total management responsibility would be kept "in-house" and only hardware would be contracted out. Admiral Raborn would be *the Honcho,* without reservations.

As the Polaris Project evolved, Pert was conceived as a management tool, to help the admiral keep a finger on the pulse of Polaris, from the scientists' minds to the users' hands.

Pert translates to "Program Evaluation and Review Technique." While definitely an aid to management rather than a substitute for management, Pert helped to deliver, fully 2 years early, a remarkable missile system at a period in history when it was common for less complicated weapons systems to lag far behind schedule.

A full appreciation for the development of Polaris requires at the minimum a layman's understanding of Pert.

Pert appears to be a product of the combined brains of naval officers, civil servants, and members of a management consultant firm. Among the individuals mentioned most often when one attempts to fix credit for the concept are civil servants Gordon Pehrson, the first director of the plans and programs division, and Willard Fazar, then chief of program evaluation.

Anything but simple, Pert is an effective means for keeping on the track in the execution of a complicated development program. It removes details from the category of "top of the head" judgment and provides a built-in check for spotting—in advance—a problem that might otherwise cause a costly delay. It allows the manager to recycle in midstream to incorporate a new decision or a new advance in technology without getting bogged down or having to start all over again.

Pert has six basic steps:

(1) Planners calculate every single event that must occur before the end product can be delivered. This includes basic research, design and test of the parts necessary (including alternates so that if one lags the other will be ready), testing, production, delivery, and assembly.

(2) A sequence of events, or major mileposts, is established, reflecting the interdependency of one component on the other. This is done by an exaggerated flow chart called a network. Events are linked by arrows which represent the mental or physical work required to complete an activity. Only when one major event is completed can the next event begin.

(3) A time value is established for each activity. Here you might ask, how does one pin down the time that will be required for something as intangible as research? There is a formula, requiring three estimates: optimistic (or best possible) time, most likely time, and pessimistic time (worst possible barring an act of God).

(4) The three estimates are computed by this formula: Time (te) equals optimistic time (a) plus four times the most likely time (m) plus pessimistic time (b), divided by 6.

$$\left(te = \frac{a+4m+b}{6}\right)$$

(5) Computers are then used to total the expected time along every path of the network to determine a "critical path"—the longest distance in time between beginning and ending of the project.

(6) The product of the above computation produces a "report card" in the form of standard computer printouts. These cards focus attention on areas where corrective action, such as the use of overtime, a personal visit to a plant, or other action would get the problem item back on schedule. Significantly, it *isolates* a specific area that would require overtime, rather than placing *all* job elements on overtime.

Dr. John P. Craven, chief scientist in Special Projects, uses an analogy that describes both the management concept and the development of Polaris. In the following seven steps, he compares the actions a gardener would take to develop a good crop to what a manager does to get a good missile system on time.

A. Gardener: *Plan in the winter.*

AT SUNNYVALE, Calif., industrial (missile) specialists W. D. Cox, left, E. D. Willis, right, and Capt. W. A. Hasler, Jr., inspect second stage jetevators which put Polaris on course during powered flight.

Manager: Establish the capability/time goal, not the hardware.

Special Projects planners drew on the total bank of knowledge acquired over a period of years in such Federal laboratories as the David Taylor Model Basin, the Naval Research Lab, the Naval Ordnance Lab, the Naval Ordnance Test Station, Air Force, Army, NASA, Bureau of Standards, and other laboratories.

B. Gardener: *Plant lots of seeds.*

Manager: Where the solution to a given goal is in doubt, develop multiple competitive approaches.

C. Gardener: *Don't prune the seedlings—pluck!*

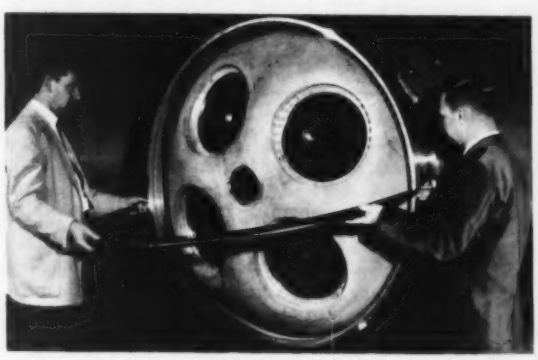
AT SACRAMENTO, Calif., associate supervisor W. D. Parmenter verifies the dimension of an A–2 nozzle.

Manager: Rapidly eliminate competitive approaches as success or failure of each competitor becomes apparent. Pert helped identify earlier than previous management concepts which component would or would not be completed on time. This reduced significantly the costs normally inherent in a crash program.

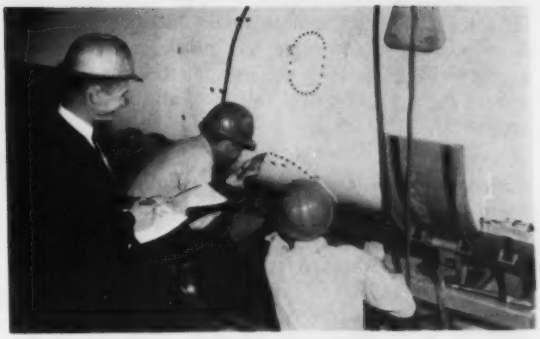
D. Gardener: *Don't cultivate plants that will clearly bloom after the frost.*

Manager: Eliminate competitive solutions when it is clear that the time schedule will not be met. Again, Pert helped to provide an overview of the progress being made in *all* areas, and thus an accurate barometer as to *which* approach should be abandoned or intensified. In one instance this theorum was violated to the program's advantage. The spun-glass casing used to house the first stage of the A–3 was "in sight" early, but would not be ready for the A–1. Hence a steel casing was used for the A–1 but development was continued on the spun glass and it was developed in time for the A–2, "before the frost fell." In another instance, a corner was cut by projecting the state of the art. Flight testing of the

SACRAMENTO inspectors D. J. Wanninger, left, and M. C. Freeman measure chamber diameter of A–3.



SPECIALLY DESIGNED "straddle carrier" lifts Polaris missile as it arrives in container at Navy Weapons Annex, Charleston.



CIVIL SERVANTS at Charleston inspect an assembled missile before placing it in storage for issue to submarine.

A–2 was going on at Cape Canaveral while research and development on the third generation A–3 was being carried out on the west coast. The A–3 was to use only about 20 percent of the hardware used in the A–2, so a great deal of flight testing was required to prove the quality of the new parts. Pert said: "Test the new components in an A–2 frame; there will be enough A–2's available for such testing without slowing down the A–2 program, and there is enough compatibility between the two frames to permit such testing." This helped to perfect the A–3 well before the "frost."

E. Gardener: *Don't transplant into unprepared beds.*

Manager: Prepare for production, installation, training, logistics, and operational compatibility at the inception of R&D for the chosen military capability.

The Special Projects people didn't wait for a new Polaris-type submarine to be designed; they literally cut in half a completed nuclear submarine, installed a missile compartment, and welded the halves of the submarine onto each end of the missile compartment. Thus they had the first Polaris submarine to become operational, the *USS George Washington.*

Meantime, crewmen who would man the Polaris submarines were selected and they began training 2 full years before the first submarine was ready. While contracts were being written for various Polaris components, support facilities were being constructed on the coasts to service the submarines with missiles and supplies. Navy yards were equipped to overhaul Polaris submarines. Tenders were earmarked to take stations at advance bases overseas to reduce the time lost between operational submarine patrols. In short, the "pipeline" was established. More than 20,000 organizations throughout the country—Federal installations, military units, scientific, educational, and industrial—had an input into the system.

F. Gardener: *Use lots of fertilizer.*

Manager: Conduct the research and development in exhaustive detail.

Imagine the problems inherent in developing *one aspect* of the Polaris system—a navigation and guidance system. The submarine commander would need to know *exactly* where his ship was at the time of launch, even if he had been completely submerged and out of contact with traditional star-sight navigation for 2 full months or more. Yet, without this precise knowledge of its point of departure, the missile's own inertial guidance system could not be expected to steer it to its target. And if the launch position *was* known precisely, it would take an unusually sensitive and accurate inertial guidance system in the missile itself to keep it on course. By projecting this portion of the Polaris system against the backdrop of the *entire* system, the scope of research and development can be appreciated.

G. Gardener: *Harvest when ripe.*

Manager: As the development phase is completed, man and deploy the military capability.

Not only were the missiles and submarines completed ahead of schedule, the supply lines were intact, crews were pre-trained and ready, and submarine tenders were on station in advance areas. Pert helped the planners to remember each detail, and it helped to close the missile gap.

But we're getting ahead of the story. Let's return to the Special Projects Office in the winter of 1955–56, when the nucleus staff was assembling and program goals were being established.

Plans laid by a special Steering Task Group in 1955–56 were so effective that Admiral Raborn's Special Projects team could plunge immediately into the development and production of tens of thousands of components that would comprise a Polaris weapons system.

In essence, the launch "platform" would be a nuclear powered submarine. It would carry 16 missiles in two rows of eight each. The submarine would have the latest navigation, fire control, communications, and "habitability" features for crew comfort.

The Polaris missile would be launched from beneath the water by compressed air. Once free of the water,

its solid fuel rocket motors would cut in. Rocket exhaust nozzles would steer the missile into its proper trajectory so that when the missile's booster stage was ejected the warhead would follow a ballistic course to its target.

Support facilities would be erected, and training conducted, as the various elements of the Polaris system were being developed, tested, produced, and mated with other components of the system.

This concept would require "field" people to be stationed at key points, of course, and it would require an overwhelming amount of travel by the staff that Admiral Raborn had vowed to keep small.

Victor G. Domenick, head of SP's management and manpower branch, explained how the Polaris concept became a magnet for talent, and how newcomers responded to the "Raborn Way."

"When word of Polaris began to seep through the maximum security grapevine into Government laboratories, and when the proposed management concept became known among career scientists and engineers, we were beseiged with applications. There were easily 50 applicants for every job," he said.

And how did they select from such a field?

"In some cases we knew who we wanted before they applied—people our nucleus staff managers and scientists had worked with in other laboratories; people who had proved themselves in ship design, missile projects, ordnance research, and so on," he replied.

Others were hired after interview.

"We quickly ruled out the ones who were looking for a quick promotion or a life of security.

"We told them about trips on the 'red-eye special'—that is, the trips that would have to be made in the dead of night, without warning, to visit a trouble spot.

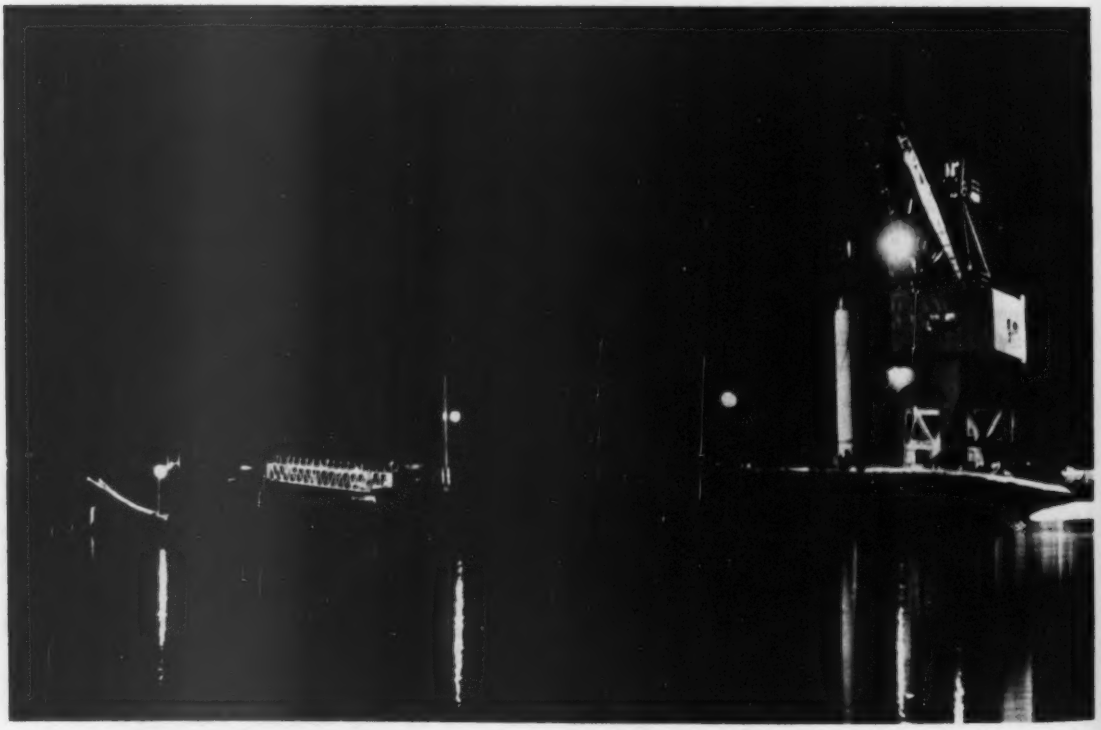
"In short, we identified the ones who saw a *challenge* in this type of operation, and we hired them," he said.

Once on board, each member of the SP team was quickly caught up in the fast pace and in the spirit of enthusiasm that prevailed, Domenick said.

"Those who came to us from bureaus and laboratories that had followed different management concepts—the ones we feared would yearn for the 'old way' of doing things—soon became the most outspoken champions of the Raborn philosophy," he added.

Underlying the fast pace which required every member of the SP team to play a participant's role were two more significant incentives to productivity:

The national urgency of the job itself, and a feature of the Pert concept which literally required each person



NIGHT LOADING—Missile canister is lowered into place over hull of *USS George Washington* as fleet ballistic missile submarine prepares to sail from Charleston, S.C.

ACTIVITY AT CAPE KENNEDY—Top panel, left to right: Engineers J. B. Wynn and R. W. Kenyon examine a reradiating antenna which permits a missile-carried transponder to be checked out while missile is in launch tube; D. J. Leffler uses telemetry data to assess flight test results; E. M. Hlavaty and F. G. Mullon at central control in block house. Bottom panel, from left: British representatives are briefed on Polaris capability; Engineers J. B. Wynn and R. Woehle at telemetry control during successful Polaris flight; Engineers P. C. Poole and B. H. Keller examine hydraulics package on Polaris A–3 test missile.

with responsibility, each small or large work group, and each section concerned with a sub-system to *compete* in the race against time.

"Innovation was such a routine practice that I find it impossible to single out one person or one group that stood out above the others," said John P. Buescher, chief engineer in the technical division of SP.

"It is much easier to single out the four greatest problems we had to overcome than it is to single out 'heroes,'" he said. These were:

(1) The re-entry body—getting the atomic scientists to predict *when* such-and-such yield warhead could be packaged small enough for use in a Polaris missile.

(2) Guidance—requiring the packaging of a guidance system in a rather small envelope while attaining the necessary accuracy.

(3) Propellant (rocket motors)—this required a significant advance in the state of the art in rocket fuel development.

(4) Navigation system—this overshadowed all others. "We had to have the means to know exactly where the launching submarine was at any given moment of the day; the exact bearing to the target; and the system had to allow for the submarine to be moving constantly—both of its own power and by the ocean currents."

He added, "We have achieved accuracy in this area comparable to accuracy in other areas."

The record supports engineer Buescher's tactful avoidance of naming individual heroes. When it came time to present awards to outstanding participants in the Polaris development, there were so many candidates that the ceremony had to be held in the Department of Commerce auditorium. The SP spaces in the Munitions Building did not have a room large enough.

On the other hand, a cold appraisal of the facts and even a few sessions with key people still in SP make it almost mandatory to mention certain individuals.

Rear Admiral Levering Smith, technical director of the Polaris project, is generally accepted as one of the foremost scientists in uniform.

George Bergquist, who followed Gordon Pehrson and Hugh McCullough as civil service chief of the plans and program division, has not been a member of the SP team throughout its history, but he has been there long

enough to make a profound contribution. He directs the branch that works with future programs, conducts relations with our allies, and programs training for the sailors to man Polaris submarines. A GS–18, he is the highest ranking career civil servant in the Navy's Bureau of Weapons, which adminstratively supports the Special Projects Office.

John Craven, a youthful-looking Ph. D., is chief scientist. A strong figure in the development of Polaris, his main concern now is the development of programs that will replace Polaris when its lifespan is completed. He earned the Flemming award in 1962.

The Polaris program is a $10 billion effort and the head of the resources branch is a key man on the management side of the house. Bernie Kahn, now assistant to George Bergquist, headed the money men for 6 years before he was succeeded by Tom Aiken.

On the technical side, branch engineers Sid Hersh, Dave Gold, Joe Cestone, Bill Pearl, Jack Fagin, and Roy Danielson have all been with the project from its early days. They are entitled to much of the credit for the program's continuing forcefulness.

Rear Admiral Ignatius J. "Pete" Galantin is now director of the Navy's Special Projects Office, having relieved Admiral Raborn on February 26, 1962. In addition to management of the continuing Polaris program, including the A–3 development, he is leading the SP team in the development of "follow-on" programs the Navy will require as refinements of, or successors to, Polaris.

Admiral Galantin was asked to assess the value of civil servants in Polaris.

Making the point that "routine" accolades would not suffice to describe his high regard for civil servants in SP, the Admiral said:

"I have just returned from an important meeting with the very top people in a major Federal agency. At that meeting I watched George Bergquist explain how the management concepts we follow in Special Projects can help to deliver another important project which is in the national interest. He was superb.

"George typifies the type of civil service people we have had in Polaris—intelligent, educated, and thoroughly motivated. I think George Bergquist is one of the Nation's greatest assets in management, just as Admiral Levering Smith is one of the Nation's greatest assets in technical development.

"With people like that on his staff, a manager doesn't have to resort to any artificial means of motivation."

Civil servants have given stability and continuity to the development of Polaris, Admiral Galantin said.

"In 3 successive years, we lost 41, 37, and 42 percent of our military people by transfer," he said, adding, "without top-notch civil servants remaining on the job, we could not afford that rate of turnover."

There are two advantages to the rotation of military personnel, he said, Naval officers who work with civilian scientists and engineers in Polaris get an opportunity to increase their technical competence; and the military people reporting in bring the fleet (user) viewpoint to the civilians who remain on the staff.

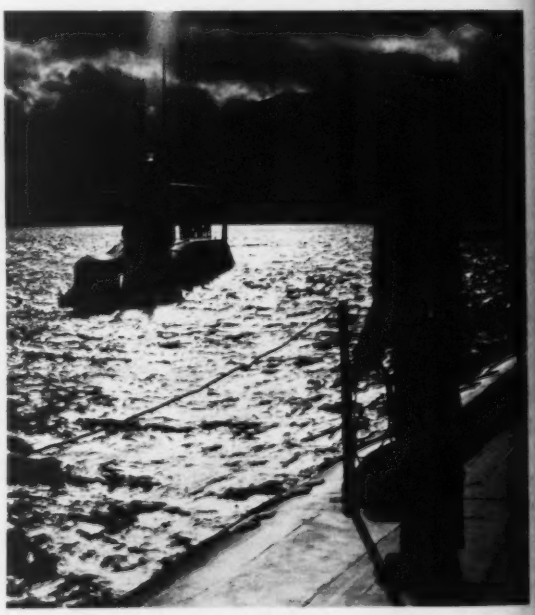
"Nevertheless," he added, "the real technical stability rests with the civilians—people like Dave Gold, whose brainchild, the Mark 84 fire control system, is employed in Polaris submarines, and Joe Cestone in navigation, one of the Navy's and perhaps the Nation's foremost engineers in his field."

Americans can sleep better because Polaris is on station. They can agree with a member of the Special Projects team who said: "If it is ever employed, it will have failed in its purpose of providing a deterrent to war."

But because Polaris is an effective deterrent, and because it is on station, the world is more secure.

And Pert, the management tool? Pert has been adopted for use in many other Federal research and development programs, and it has gained wide use in the private economy. It has been used, for instance, in large construction jobs, book publishing, open heart surgery, and production of a play.

The London Times of April 19, 1964, carried a well explained and thoroughly illustrated (albeit tongue-in-cheek) article on the subject: *How to Plan and Execute a Great Train Robbery by Pert.*



BACK FROM PATROL—Nuclear submarine *USS Sam Houston* arrives in Holy Loch, Scotland, from the first Polaris patrol in the Mediterranean. (*Navy photos*)

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Worth Noting *(Continued)*

SPECIAL PRESIDENTIAL CITATIONS have been approved for award by Federal agencies to employees and organizational units responsible for significant cost reductions, increased productivity, or other improvements in Government operations placed in effect between July 1, 1963, and November 30, 1964. In approving the awards in connection with the current observance of the 10th anniversary of the Federal Employees Incentive Awards program, President Johnson said that he wished employees and units meriting special recognition to have "a tangible symbol" of his personal appreciation for their efforts to achieve "thrift, frugality, and economy in Government operations." Citations to individuals are authorized for beneficial suggestions or achievements beyond job requirements that result in measurable first-year benefits valued at $50,000 or more. Units may be recognized for team effectiveness as measured by such accomplishments as reductions in operating costs while maintaining high quality work, increasing productivity, improving service to the public, or effecting improvements in management. The colorful citations bear the President's facsimile signature and will be presented by agency officials on behalf of the President.

CHAIRMAN John W. Macy, Jr., of the Civil Service Commission, has hailed a recent Defense Department decision to plan for and fund long-term civilian training as "a real breakthrough toward better management in Government." The plan, spelled out in a memorandum from Deputy Secretary of Defense Cyrus R. Vance to heads of the military departments and defense agencies, requires the establishment of special pools of funds and manpower spaces earmarked for use in meeting long-term educational and training needs in the Department of Defense through periods of training in excess of 120 days for selected civilian officials and specialists. The plan will enable organizations to fill a trainee's position during his absence and guarantee the trainee, as a minimum, entitlement to return to his position after training.

COMPUTERS were used to schedule 78,995 applicants to take the Federal-Service Entrance Examination and to score 47,614 sets of answer cards in all Civil Service Commission regions last year. The system has been developed to the point that problem cases constitute less than 1 percent of the cases processed. Research is underway to develop an application that will allow the Commission to automate the rating of experience and education.

NEW POSTER in the series of Presidential messages to Federal employees is captioned: "You . . . Youth . . . and the Promise that is America." The President's statement follows:

> YOU ARE A MEMBER of a proud work force long dedicated to the service of others. Your work affects the lives of many people, but I would like to suggest another way—a purely personal way—in which you can serve your country.
>
> THERE IS MUCH you can do on a voluntary basis to help the young people of your community. Many live face-to-face with poverty, delinquency, and unhealthy conditions. Many are school dropouts well on the way to becoming a wasted resource. Many only need a leader—someone to show the way.
>
> ASK YOURSELF: "What can I do?" You can share your time with these young people. You can volunteer to help those around you gain their rightful share of the promise that is America.

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